

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**Express Mail Label No.** EL609099587US

Jc597 U.S. PTO  
09/704374



See MPEP chapter 600 concerning utility patent application contents.

- 1 -

[illegible]

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

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**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** 710.00**Complete if Known:**Application No. Not Yet AssignedFiling Date Concurrently HerewithFirst Named Inventor David L. GilmourGroup Art Unit Not Yet AssignedExaminer Name Not Yet AssignedAttorney Docket No. 003386.P016**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:

☒ Check☐ Money Order☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility application filing fee	<u>710.00</u>
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____

**SUBTOTAL (1)** \$ 710.00**2. EXTRA CLAIM FEES**

			<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>9</u>	- 20** =	<u>0</u>	X _____	= _____
Independent Claims	<u>3</u>	- 3** =	<u>0</u>	X _____	= _____
Multiple Dependent				_____	= _____

**\*\*Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$ \_\_\_\_\_

# FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	_____
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	_____
139	130	139	130	Non-English specification	_____
147	2,520	147	2,520	For filing a request for reexamination	_____
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	_____
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	_____
115	110	215	55	Extension for response within first month	_____
116	390	216	195	Extension for response within second month	_____
117	890	217	445	Extension for response within third month	_____
118	1,390	218	695	Extension for response within fourth month	_____
128	1,890	228	945	Extension for response within fifth month	_____
119	310	219	155	Notice of Appeal	_____
120	310	220	155	Filing a brief in support of an appeal	_____
121	270	221	135	Request for oral hearing	_____
138	1,510	138	1,510	Petition to institute a public use proceeding	_____
140	110	240	55	Petition to revive unavoidably abandoned application	_____
141	1,240	241	620	Petition to revive unintentionally abandoned application	_____
142	1,240	242	620	Utility issue fee (or reissue)	_____
143	440	243	220	Design issue fee	_____
144	600	244	300	Plant issue fee	_____
122	130	122	130	Petitions to the Commissioner	_____
123	50	123	50	Petitions related to provisional applications	_____
126	240	126	240	Submission of Information Disclosure Stmt	_____
581	40	581	40	Recording each patent assignment per property (times number of properties)	_____
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
179	710	279	355	Request for Continued Examination (RCE)	_____
169	900	169	900	Request for expedited examination of a design application	_____

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) \$ \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY:

Typed or Printed Name: Libby W. Ho

Signature: \_\_\_\_\_

EXPRESS MAIL CERTIFICATE OF MAILING

Date: November 1, 2000

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Date of Deposit

Debbie Pelquin

Name of Person Mailing Correspondence

Debbie Pelquin 11/1/00

Docket No.: 003386.P016

Express Mail No.: EL609099587US

UNITED STATES PATENT APPLICATION

FOR

**WITHDRAWAL OF REQUESTS IF TARGET NUMBER OF REQUESTS  
RESPONSES RECEIVED**

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November 1, 2000

(Date signed)

**WITHDRAWAL OF REQUESTS OF TARGET NUMBER OF REQUESTS  
RESPONSES RECEIVED**

5 This application is a continuation-in-part of U.S. patent application no.  
09/270,974, filed March 17, 1999, which is a continuation-in-part of U.S.  
patent application no. 09/157,093 filed September 18, 1998.

**FIELD OF THE INVENTION**

10 The present invention relates generally to the field of knowledge  
management and, more specifically, to a method and apparatus for querying  
a user profile over a computer network.

**BACKGROUND OF THE INVENTION**

15 The new field of "knowledge management" (KM) is receiving  
increasing recognition as the gains to be realized from the systematic effort  
to store and export vast knowledge resources held by employees of an  
organization are being recognized. The sharing of knowledge broadly within  
an organization offers numerous potential benefits to an organization  
20 through the awareness and reuse of existing knowledge, and the avoidance  
of duplicate efforts.

In order to maximize the exploitation of knowledge resources within  
an organization, a knowledge management system may be presented with  
two primary challenges, namely (1) the identification of knowledge resources

within the organization and (2) the distribution and accessing of information regarding such knowledge resources within the organization.

The identification, capture, organization and storage of knowledge resources is a particularly taxing problem. Prior art knowledge management systems have typically implemented knowledge repositories that require users manually to input information frequently into pre-defined fields, and in this way manually and in a prompted manner to reveal their personal knowledge base. However, this approach suffers from a number of drawbacks in that the manual entering of such information is time consuming and often incomplete, and therefore places a burden on users who then experience the inconvenience and cost of a corporate knowledge management initiative long before any direct benefit is experienced. Furthermore, users may not be motivated to describe their own knowledge and to contribute documents on an ongoing basis that would subsequently be re-used by others without their awareness or consent. The manual input of such information places a burden on users who then experience the inconvenience and cost of a corporate knowledge management initiative long before any direct benefit is experienced.

It has been the experience of many corporations that knowledge management systems, after some initial success, may fail because either compliance (i.e., the thoroughness and continuity with which each user contributes knowledge) or participation (i.e., the percentage of users actively contributing to the knowledge management system) falls to inadequate

levels. Without high compliance and participation, it becomes a practical impossibility to maintain a sufficiently current and complete inventory of the knowledge of all users. Under these circumstances, the knowledge management effort may never offer an attractive relationship of benefits to costs for the organization as a whole, reach a critical mass, and the original benefit of knowledge management falls apart or is marginalized to a small group.

In order to address the problems associated with the manual input of knowledge information, more sophisticated prior art knowledge management initiatives may presume the existence of a centralized staff to work with users to capture knowledge bases. This may however increase the ongoing cost of knowledge management and requires a larger up-front investment before any visible payoff, thus deterring the initial funding of many an otherwise promising knowledge management initiatives. Even if an initial decision is made to proceed with such a sophisticated knowledge management initiative, the cash expenses associated with a large centralized knowledge capture staff may be liable to come under attack, given the difficulty of quantifying knowledge management benefits in dollar terms.

As alluded to above, even once a satisfactory knowledge management information base has been established, the practical utilization thereof to achieve maximum potential benefit may be challenging. Specifically, ensuring that the captured information is readily organized,



available, and accessible as appropriate throughout the organization may be problematic.

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## SUMMARY OF THE INVENTION

According to a first aspect of the present invention, there is provided a method of querying a knowledge profile. The method commences with a first access to a public portion of a knowledge profile for each of a plurality of potential targets, the public portion of each knowledge profile including public knowledge terms indicative of a knowledge base of a potential target. The first access is responsive to a first query received from an originator. A first matching operation is performed between a query term and public knowledge terms within the public portion of each knowledge profile to identify a first set of targets for which a match exists between the query term and at least one public knowledge term. The first set of targets is published to the originator. Responsive to a second query from the originator, the private portion of a knowledge profile for each of the plurality of potential targets is accessed, the private portion of each knowledge profile including private knowledge terms indicative of a knowledge base of a potential target. A second matching operation between the query term and the private knowledge terms within the private portion of each knowledge profile is performed to identify a second set of targets for which a match exists between the query term and at least one private knowledge term. Each target of the second set of targets is then prompted for authorization to be published to the originator.

Other features of the present invention will be apparent from the accompanying drawings and from the detailed description that follows.

## BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example and not limitation in the figures of the accompanying drawings, in which like references indicate similar elements and in which:

5

**Figure 1** is a block diagram illustrating a knowledge management system, according to an exemplary embodiment of the present invention.

10 **Figure 2** is a block diagram illustrating a knowledge site management server, according to an exemplary embodiment of the present invention.

**Figure 3** is a block diagram illustrating a knowledge access server, according to an exemplary embodiment of the present invention.

15 **Figure 4** is a block diagram illustrating a knowledge converter, according to an exemplary embodiment of the present invention.

20 **Figure 5** is a block diagram illustrating a client software program, and an e-mail message generated thereby, according to an exemplary embodiment of the present invention.

**Figure 6** is a block diagram illustrating the structure of a knowledge repository, according to an exemplary embodiment of the present invention,

as constructed from the data contained in a repository database and a user database.

**Figure 7** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of constructing a user knowledge profile.

**Figure 8** is a flowchart illustrating a high-level method, according to an exemplary embodiment of the present invention, by which terms may be extracted from an electronic document and by which confidence level values may be assigned to such terms.

**Figure 9A** is a flowchart illustrating a method, according to exemplary embodiment of the present invention, of determining a confidence level for a term extracted from an electronic document.

**Figure 9B** is a flowchart illustrating a method, according to exemplary embodiment of the present invention, by which a document weight value may be assigned to a document based on addressee information associated with the document.

**Figure 10** illustrates a term-document binding table, according to an exemplary embodiment of the present invention.

**Figure 11** illustrates a weight table, according to an exemplary embodiment of the present invention.

5        **Figure 12** illustrates an occurrence factor table, according to an exemplary embodiment of the present invention.

10       **Figure 13** illustrates a confidence level table, including initial confidence level values, according to an exemplary embodiment of the present invention.

15       **Figure 14** illustrates a modified confidence level table, including modified confidence level values, according to an exemplary embodiment of the present invention.

**Figure 15A** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of constructing a user knowledge profile that includes first and second portions.

20       **Figure 15B** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of storing a term in either a first or a second portion of a user knowledge profile.

**Figure 16A** illustrates a user-term table, constructed according to the exemplary method illustrated in Figure 15A.

**Figure 16B** illustrates a user-term table, constructed according to the  
5 exemplary method illustrated in Figure 15A.

**Figure 17A** is a flowchart illustrating a method, according to an  
exemplary embodiment of the present invention, of facilitating access to a  
user knowledge profile.  
10

**Figure 17B** is a flowchart illustrating an alternative method, according  
to exemplary embodiment of the present invention, of facilitating access to a  
user knowledge profile.

**Figure 17C** is a flowchart illustrating a method, according to  
exemplary embodiment of the present invention, of performing a public  
profile process.  
15

**Figure 17D** is a flowchart illustrating a method, according to an  
exemplary embodiment of the present invention, of performing a private  
profile process.  
20

**Figure 17E** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of performing a profile modification process.

5        **Figure 18A** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of addressing an electronic document for transmission over a computer network.

10       **Figure 18B** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of executing an "explain" function that provides the reasons for the proposal of an e-mail recipient.

15       **Figure 18C** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of executing a "more" function that proposes further potential recipients for an e-mail message.

20       **Figure 18D** illustrates a user dialog, according to an exemplary embodiment of the present invention, through which a list of potential recipients is displayed to an addressor of an e-mail message.

**Figure 19** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of managing user authorization to publish, or permit access to, a user knowledge profile.

Figure 20 is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of assigning a confidence value, either in the form of a confidence level value or a confidence memory value, to a term.

Figure 21 is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of determining or identifying a confidence value, either in the form of a confidence level value or a confidence memory value, for a term.

Figure 22 illustrates a user-term table, according to an exemplary embodiment of the present invention, that is shown to include a confidence level value column, a confidence memory value column and a time stamp column.

Figure 23 is a block diagram illustrating a machine, according to one exemplary embodiment, within which software in the form of a series of machine-readable instructions, for performing any one of the methods discussed above, may be executed.

Figure 24 is a flowchart showing a method, according to an exemplary embodiment of the present invention, of querying a user profile.



**Figure 25** is a flowchart showing a method, according to an exemplary embodiment of the present invention, of determining whether a query has expired.

## DETAILED DESCRIPTION

A method and apparatus for querying a user profile over a network are described. In the following description, for purposes of explanation, numerous specific details are set forth in order to provide a thorough  
5 understanding of the present invention. It will be evident, however, to one skilled in the art that the present invention may be practiced without these specific details.

### OVERVIEW

With a view to addressing the above described difficulties associated  
10 with manual knowledge capture either by a profile owner or by a dedicated staff, there is provided a method and apparatus for capturing knowledge automatically, without excessive invasion or disruption of normal work patterns of participating users. Further, the present specification teaches a method and apparatus whereby a database of captured knowledge  
15 information is maintained continuously and automatically, without requiring that captured knowledge information necessarily be visible or accessible to others. The present specification also teaches facilitating the user input and modification of a knowledge profile associated with the user in a knowledge database at the user's discretion.

20 The present specification teaches a method and apparatus for intercepting electronic documents, such as for example e-mail messages, originated by a user, and extracting terms therefrom that are potentially

indicative of a knowledge base of the originating user. The extracted knowledge terms may then be utilized to construct a user knowledge profile. The grammatical structure, length, frequency and density with which the extracted knowledge terms occur within electronic documents originated by a user, and prior history of use of the extracted knowledge terms within an organization may furthermore be utilized to attach a metric, in the form of a confidence level value, to the relevant knowledge terms for the purpose of grouping, ranking, and prioritizing such knowledge terms. Knowledge terms may furthermore be stored in either a private or public portion of the user knowledge profile, depending upon the confidence level values thereof.

It will be appreciated that the large volume of e-mail messages traversing an e-mail system over a period of time will contain a large number of terms that may be irrelevant to the identification of the knowledge base of a user. With a view to determining which terms are truly indicative of a knowledge base, a number of rules (or algorithms) may be exercised with respect to extracted terms to identify terms that are candidates for inclusion within a public portion of the user knowledge profile. Further rules (or algorithms) may be applied to an assembled knowledge profile for the purpose of continually organizing and refining the profile.

Corporate e-mail systems have become increasingly pervasive, and have become an accepted medium for idea communication within corporations. Accordingly, the content of e-mail messages flowing within a large organization amounts to a vast information resources that, over the

course of time, may directly or indirectly identify knowledge bases held by individuals within the organization.

The present specification also teaches addressing privacy concerns associated with the examination of e-mail messages for the above purposes  
5 by providing users with the option selectively to submit originated e-mail messages for examination, or alternatively to bypass the examination and extraction system of the present invention.

There is also taught a computer-implemented method and apparatus for addressing an electronic document, such as an e-mail message, for  
10 transmission over a computer network. The e-mail message may be examined to identify terms therein. The identified terms are then compared to a number of user knowledge profiles with a view to detecting a predetermined degree of correspondence between the identified terms and any one or more of the user knowledge profiles. In the event that a  
15 predetermined degree of correspondence is detected, the sender of the electronic document is prompted to either accept or decline the proposed recipient as an actual recipient of the electronic document, after first being offered an opportunity to inspect the specific basis of the correspondence between the identified terms and the proposed recipients.  
20 The e-mail message may also be parsed to extract recipients entered manually by the user. The degree of correspondence between the knowledge profiles of the manually entered recipients and the identified terms of the message is then optionally used as the basis of

recommendations to the user that certain manually entered recipients be dropped from the ultimate list of recipients.

This aspect of the present teachings is advantageous in that a sender of an e-mail message is presented with a list of proposed recipients,

5 identified according to their knowledge profiles and the content of the e-mail message, who may be interested in receiving the e-mail message.

Accordingly, the problems of over-distribution and under-distribution of e-mail messages that may be encountered within an organization may be

reduced. Specifically, in the over-distribution situation, many users are

10 frequently copied on e-mail messages, resulting in lost productivity as the users struggle to cope with increasing volumes of daily e-mail. Further, when the time available to read e-mail messages becomes restricted, users

typically begin to defer reading of e-mail messages, and communication efficiency within the organization may be adversely affected. In the under-

15 distribution situation, it may occur that the proper recipients of the message are not included in the distribution list, and accordingly fall "out of the loop".

There is also taught a method of facilitating a user profile query or look-up wherein, in response to a match between a query and a user profile, the owner of the user profile may be prompted for authorization to publish all

20 (or a portion) of the user profile to the originator of the query or to others generally. This is advantageous in that it addresses the above mentioned privacy concerns by treating the knowledge profile as a confidential resource under the control of the user. The user is thus also able to control the

timing, circumstances and extent to which it is made accessible to others. A further advantage is that the user is prompted for input specifically to satisfy specific, pending requests of others. This relieves the user of the need to remember to modify his or her profile on a regular basis and the need to make decisions concerning the composition of the profile prospectively, prior to any actual use of the profile by others. In this manner the user saves time and effort, since the determination that manual interaction with the profile is necessary is a function of the present system, not a responsibility of the user.

There is also taught a method of assigning a confidence level value to a term within an electronic document. This confidence level value is based on a first quantitative indicator, derived from the number of occurrences of the term within the electronic document, and a second characteristic indicator, derived utilizing the characteristic of the term.

For the purposes of the present application, the word "term" shall be taken to include any acronym, word, collection of words, phrase, sentence, or paragraph. The term "confidence level" shall be taken to mean any indication, numeric or otherwise, of a level within a predetermined range.

## SYSTEM ARCHITECTURE

**Figure 1** is a block diagram illustrating a knowledge management system 10, according to an exemplary embodiment of the present invention. The system 10 may conveniently be viewed as comprising a client system 12 and a server system 14. The client system 12 may comprise one or

more clients, such as browser clients 16 and e-mail clients 18, that are resident on terminals or computers coupled to a computer network. In one exemplary embodiment, each of the browser clients 16 may comprise the Internet Explorer client developed by Microsoft Corp. of Redmond,

5 Washington, or the Netscape Navigator client developed by Netscape Communications of Menlo Park, California. Each of the e-mail clients 18 may further comprise the Outlook Express, Outlook 97, Outlook 98 or Netscape Communicator e-mail programs. As will be described in further detail below, the browser and e-mail clients 16 are complemented by  
10 extensions 19, that enable the e-mail clients 18 to send an electronic message (e.g., either an e-mail or HTML document) to a knowledge server 22 implemented on the server side 14 of the system 10. As shown in **Figure 1**, the extensions 19 may be integral with an e-mail client 18, or external to the client 18 and in communication therewith. The clients 16 and  
15 18 may default to sending every communication to a relevant component of the knowledge server 22, while allowing a user specifically to designate a communication not suitable for transmission to the knowledge server 22. The user designation may be facilitated through controls that are installed as software modules which interact with or modify an e-mail client 18, and  
20 which cause messages to be copied to a special e-mail address (e.g., a Knowledge Server (KS) mailbox 25 maintained by a e-mail server 23) associated with a knowledge server component. In the case where a client extension 19 for performing this automatic transmission is not available, the

user can manually add the e-mail address of the KS mailbox 25 to the list of recipients for the message. Further details in this regard are provided below. Files embedded within an e-mail message, such as attachments, may also be selectively included or excluded from the capture process and  
5 may also be selectively included or excluded from retention in a knowledge repository.

The browser clients 16 are used as an additional means to submit documents to the knowledge server 22 at the discretion of a user. The browser client 16 is used to access an interface application 34, maintained  
10 on a web server 20, which transmits documents to the knowledge server 22.

In alternate embodiments, a client may also propagate a list of bookmarks, folders or directories to the knowledge server 22 for the purpose of user knowledge profile construction.

#### SERVER SIDE ARCHITECTURE

15 The server side 14 of the system 10 includes the web server 20, the e-mail server 23 and the knowledge server 22. The web server 20 may be any commercially available web server program such as Internet Information Server (IIS) from Microsoft Corporation, the Netscape Enterprise Server, or the Apache Server for UNIX. The web server 20 includes the interface  
20 application 34 for interfacing with the knowledge server 22. The web server 20 may run on a single machine that also hosts the knowledge server 22, or may alternatively run along with the interface application 34 on a dedicated web server computer. The web server 20 may also be a group of web



server programs running on a group of computers to thus enhance the scalability of the system 10. As the web server 20 facilitates access to a local view of a knowledge repository 50, maintained by the knowledge access server 26, by the browser clients 16, the web server interface application 34 implements knowledge application interfaces, knowledge management interfaces, user profile creation and maintenance interfaces, and a server management interface. The web server 20 also facilitates knowledge profile queries, e-mail addressing to an e-mail client 18, and any other access to the knowledge server 22 using the standard HTTP (web) protocol.

The knowledge server 22 includes a knowledge site management server (KSMS) 27 and the knowledge access server (KAS) 26. The knowledge server access 26 includes an interface that provides a local view of a knowledge repository 50, which is physically stored in the user database 56A and a repository database 56B. The knowledge site management server 27 is shown to have access to the local view of the knowledge repository 50 maintained by the knowledge access server 26. The illustrated components of the knowledge server 22 are collectively responsible for the capture (termed "knowledge discovery") of terms indicative of a user knowledge base and for the distribution of user knowledge profile information. Knowledge discovery may be done by the examination and processing of electronic documents, such as e-mail messages, which may be propagated to the e-mail server 23 from an e-mail

client 18 via the Simple Mail Transfer Protocol (SMTP), as shown at 32.

Alternatively, knowledge discovery may be implemented by the examination of submissions from a browser client 16 via the web server 20.

The knowledge server 22 includes the knowledge access server 26

5 and the knowledge site management server 27 as two separate and distinct server systems in view of the divergent functions provided by the servers 26

and 27. Specifically, the knowledge site management server 27 functions

primarily to manage non-interactive processing (e.g., the extraction of

knowledge from inbound e-mail messages), to manage the user information

10 database 56A, and to implement various centralized system management

processes. The knowledge site management server 27 does not

communicate interactively with clients 18, or with clients 16 except for

administrative functions. The knowledge access server 26, on the other

hand, functions primarily to respond to queries and updates from users

15 submitted via clients, typically browser clients 16. Multiple instances of a

knowledge access server 26 may be required to support a large corporate

environment and to provide appropriate scalability; however only one

knowledge site management server 27, one user database 56A, and one

repository database 56B typically exist in a working system. In small scale

20 environments, the web server 20, knowledge access server 26, and

knowledge site management server 27, and even the e-mail server 23, may

all optionally be deployed on the same physical computer.

**Figure 2** is a block diagram illustrating an exemplary embodiment, according to the present invention, of the knowledge site management server 27. The server 27 is shown to include a socket front-end 40 to facilitate communication with the web server 20 for administrative requests, a request handler 44, a knowledge gathering system 28, a knowledge converter 24, and a variety of specialized controller modules 45A - 45C. The request handler 44, upon receiving a request from the web server 20 via the interface application 34 and socket front-end 40, starts a session to process the request such as, for example, a request by an authorized systems administrator to configure the behavior of the knowledge gathering system 28.

The knowledge gathering system 28 is shown in **Figure 2** to include an extraction controller 47, a mail system interface 42, and a term extractor 46 including confidence logic 45. The extraction controller 47 commands the mail system interface 42 to retrieve messages submitted by the e-mail client extensions 19 to the KS mailbox 25 on the e-mail server 23 for the purpose of extraction and processing. The extraction controller 47 can request this continuously or periodically on a scheduled basis, so that messages can be processed at a convenient time when computing resources are lightly loaded, for example, overnight. The mail system interface 42 retrieves e-mail messages from the e-mail server 23 using the Simple Mail Transfer Protocol (SMTP), Post Office Protocol 3 (POP3), or Internet Message Access Protocol 4 (IMAP4) protocols. The mail system

interface 42 propagates electronic documents directly to a term extractor 46, including confidence logic 45, that operates to convert electronic documents into per-user knowledge profiles that are stored in a knowledge repository 50. The term extractor 46 may include any commercially available term  
5 extraction engine (such as "NPTOOL" from LingSoft Inc. of Helsinki, Finland, or "Themes" from Software Scientific) that analyzes the electronic document, recognizes noun phrases in the document, and converts such phrases to a canonical form for subsequent use by the confidence logic 45 as candidate terms in a knowledge profile.

10 The term extractor 46 performs a variety of the steps when parsing and decoding an electronic document, such as interpreting any special attributes or settings encoded into the header of the message of the e-mail client 18, resolving the e-mail addresses of recipients against either the built-in user database or an external user database, preprocessing the electronic  
15 document, extracting noun-phrases from the text as candidates for knowledge terms, processing these knowledge terms, and storing summary information about the document and extraction process in the databases 56A and 56B. The term extractor 46 further detects and strips out non-original texts, attachments and in some cases the entire electronic  
20 document based on the document not meeting predetermined minimum criteria. Further details regarding the exact procedures implemented by the term extractor 46 will be provided below. Once the term extractor 46 has extracted the knowledge terms, the knowledge repository 50 is updated.

Specifically, new terms are added, and repetitions of known terms are used to update the knowledge repository 50.

The knowledge repository 50 is defined by a hierarchical structure of classes. The objects of these classes represent the knowledge information that includes, inter alia, user profiles (including knowledge profiles) and organizational structure, and are stored in two databases: the user database 56A and the repository database 56B. The repository database 56B contains profile and repository information and can use one of a number of commercial relational database management systems that support the Open DataBase Connectivity (ODBC) interface standard. A database interface 54 provides a logical database-independent class API to access the physical databases and to shield the complete server codes from accessing database native API so that the server process can use any relational database management system (RDMS). Because the repository database 56A is open to inspection by systems administrators, and may be hosted on an existing corporate system, special measures may be taken to enhance the privacy of information in the repository database 56B; for example, the repository database 56B contains no actual user names or e-mail addresses, but instead may use encrypted codes to represent users in a manner that is meaningful only in combination with the user database. The user database 56A is a small commercial RDBMS embedded into the knowledge repository 50 in such a way that it cannot be accessed except through the interfaces offered by the system 10. The user database 56A

contains encrypted identifying codes that allow the names of actual users to be associated with e-mail addresses, login IDs, passwords, and profile and repository information in the repository database.

5 A lexicon controller 45C is responsible for building tables of associated terms. Terms are considered "associated" with each other to the extent that they tend to co-occur in close proximity within the documents of multiple users. The lexicon controller 45C manages the background process of data mining that is used to discover associations between terms and record those in special association tables within the repository database  
10 56B.

A profile controller 45B is a module that may optionally be included within the knowledge site management server 27, and manages a queue of pending, compute-intensive operations associated with updating profiles. Since the algorithm for the confidence level value calculation of a term  
15 (embodied in the confidence logic 45) depends on the total number of documents profiled, the confidence level value for each and every term in a user's profile is technically obsolete when any document is profiled. The profile controller 45B manages the "recalculation" of profiles. The actual operation is performed within the knowledge access server 26, which has a  
20 knowledge repository 50 interface.

A case controller 45A keeps track of open cases and initiates notifications to users concerning their status. A "case" is a pending request from one user to another, as will be detailed below. For example, if a user

requests an expert in a certain field via a client browser client 16, the knowledge access server 26 matches the term against both the public and private portions of all user profiles. If a high confidence, but private, match is found, the system cannot reveal the identity of the matched person to the inquirer and must therefore open a "case". The case places a notification in the profile "home" page of the target user and/or transmits an e-mail message with a link back to that page. The target user may then (via a browser):

1. See the identity of the inquirer and the basis of the match.
2. See comments added by the inquirer.
3. Deny the request, at which point the case is closed.
4. Put a block on any further matches from that person or based on that term.
5. Go into the profile and edit the term responsible for the match.
6. Indicate that the case is accepted and provide authorization to reveal the identity of the target to the inquirer.

From the perspective of the inquirer, private matches are initially returned with a match strength only and do not reveal the name of the person or document matched. The user can then initiate cases for any or all of these private matches, based on how urgently the information is needed, how good the matches were, and whether the public matches are sufficient. Each case gets an expiration date set by the inquirer and notification options

regarding how the inquirer wants to be told about the disposition of the case. Open cases are summarized in the Web area for the inquirer, along with the date and query that generated the return values. If the target denies a case, that status is communicated to the user. The user has no option to send e-mail or otherwise further identify that person. If the target accepts the case, the identity of the target is communicated to the user by updating the case record and the case is closed. Case history retention options are a site administration option.

**Figure 3** is a block diagram illustrating the components that constitute the knowledge access server 26. The knowledge access server 26 is shown to include a socket front-end 40 to facilitate communication with the web server interface application 34. The knowledge access server 26 further includes a request handler 44, a term extractor 46, a knowledge repository 50 and a database interface 54 that function in a manner similar to that described above with reference to the knowledge gathering system 28. The term extractor 46 includes comparison logic 51, the functioning of which will be described below. The knowledge access server 26 functions primarily as an interface between knowledge users and the knowledge repository 50. It provides services to the web server interface application 34, which implements a number of user interfaces as described above for interacting with the knowledge repository 50.

**Figure 4** is a block diagram illustrating the components that constitute the knowledge converter 24. The knowledge converter 24 is shown to



include a term extractor 46 that is fed from an array of format converters 60. The knowledge converter 24 is able to access the knowledge repository 50, and to import data from other knowledge systems, or export knowledge to other knowledge systems, via each of the format converters 60.

5           Returning to **Figure 1**, the knowledge access server 26 implements the interface to the knowledge repository 50 and the knowledge site management server 27 is shown to access the knowledge repository 50 via the knowledge access server 26. **Figures 3 and 4** illustrate data for the knowledge repository 50 as residing in databases 56A and 56B. The  
10       databases 56A and 56B are built on a general database interface 54 and provide persistent storage for the core system classes referred to above. In one exemplary embodiment of the present invention, the user database and the repository databases are implemented utilizing the Microsoft SQL server, developed by Microsoft Corp. of Redmond Washington, to provide default  
15       storage management services for the system. However, programming may be done at a more general level to allow for substitution of other production class relational database management systems, such as those developed by Sybase, Oracle or Informix.

#### CLIENT SIDE ARCHITECTURE

20           **Figure 5** is a diagrammatic representation of a client, according to an exemplary embodiment of the present invention, in the form of an e-mail client 18. It will be appreciated that the e-mail client 18 may be any commercially available e-mail client, such as a Microsoft Exchange, Outlook

Express, Outlook 97/98 or Lotus Notes client. The e-mail client 18 includes modifications or additions, in the form of the extensions 19, to the standard e-mail client to provide additional functionality. Specifically, according to an exemplary embodiment of the present invention, three subsystems are

5 included within the e-mail client extensions 19, namely a user interface 80, a profiling system 82, and an addressing system 84.

The profiling system 82 implements properties on an originated message, as well as menu and property sheet extensions at global and message levels for users to set and manipulate these new properties. More

10 specifically, profiling system 82 provides a user with a number of additional options that determine how a message 85 propagated from the e-mail client 18 to the knowledge repository 50 will be processed and handled for the purposes of knowledge management. A number of the provided options are global, while others apply on a per-message basis. For example, according

15 to one exemplary embodiment, the following per-message options (or flags) may be set by a user to define the properties of an e-mail message:

1. An "Ignore" flag 86 indicating the e-mail message should not be processed for these purposes of constructing or maintaining a user knowledge profile, and should not be stored.

2. A "Repository" parameter 88 indicating that the message may be processed for the purposes of constructing a knowledge profile and then stored in the repository 50 for subsequent access as a

document by others. The "Repository" parameter 88 also indicates whether the document (as opposed to terms therein) is to be stored in a private or public portion of the repository 50.

A number of global message options may also be made available to a user for selection. For example, an e-mail address (i.e., the KS mailbox 25 or the e-mail server 23) for the knowledge server 22 may be enabled, so that the e-mail message is propagated to the server 22.

Actual implementation and presentation of the above per-message and global options to the user may be done by the addition of a companion application or set of software modules which interact with API's provided by e-mail clients, or modules which modify the e-mail client itself, which are available during message composition. If the user activates the Ignore flag 86, the profiling system 82 will not make any modifications to the message and no copy of the message will be sent to the knowledge gathering system 28 via the KS mailbox 25. Otherwise, per-message options, once obtained from the user, are encoded. Subsequently, when the user chooses to send the message 85 using the appropriate control on the particular e-mail client 18, the e-mail address of the knowledge gathering server is appended to the blind copy list for the message. The profiling system 82 encrypts and encodes the following information into the message header, for transmission to and decoding by the knowledge gathering system 28, in accordance with Internet specification RFC 1522:

The list of e-mail addresses in the "to:" and "cc:" lists;

Per-message options as appropriate; and

For those recipients suggested by the addressing system 84 (see below), a short list of topic identifiers including the primary topics found within the message and the primary topics found within the user profile that formed a basis of a match.

4. Security information to validate the message as authentic.

When the message 85 is sent over the normal e-mail transport, the following events occur:

Recipients on the "to:" and "cc:" lists will receive a normal message with an extra header containing the encoded and encrypted options. This header is normally not displayed by systems that read e-mail and can be ignored by recipients;

the recipients will not be aware that the knowledge gathering system has received a blind copy of the message; and

If the sender chooses to archive a copy of the message 85, the e-mail address of the knowledge gathering system 28 will be retained in the "bcc" field as a reminder that the message was sent to the knowledge gathering server.

Further details concerning the addressing system 86 will be discussed below.

## THE REPOSITORY

**Figure 6** is a block diagram illustrating the structure of the repository 50, according to one exemplary embodiment of the present invention, as constructed from data contained in the repository database 56B, and the user database 56A. The repository 50 is shown to include a number of tables, as constructed by a relational database management system (RDBMS). Specifically, the repository 50 includes a user table 90, a term table 100, a document table 106, a user-term table 112, a term-document table 120 and a user-document table 130. The user table 90 stores information regarding users for whom knowledge profiles may be constructed, and includes an identifier column 92, including unique keys for each entry or record within the table 90. A name column 94 includes respective names for users for whom knowledge profiles are maintained within the repository 50. A department column 96 contains a description of departments within an organization to which each of the users may be assigned, and an e-mail column 98 stores respective e-mail addresses for the users. It will be appreciated that the illustrated columns are merely exemplary, and a number of other columns, storing further information regarding users, may be included within the user table 90.

The term table 100 maintains a respective record for each term that is identified by the term extractor 46 within an electronic document, and that is included within the repository 50. The term table 100 is shown to include an identifier column 102, that stores a unique key for each term record, and a

term column 104 within which the actual extracted and identified terms are stored. Again, a number of further columns may optionally be included within the term table 100. The document table 106 maintains a respective record for each document that is processed by the term extractor 46 for the purposes of extracting terms therefrom. The document table 106 is shown to include an identifier column 108, that stores a unique key for each document record, and a document name column 110, that stores an appropriate name for each document analyzed by the term extractor 46.

The user-term table 112 links terms to users, and includes at least two columns, namely a user identifier column 114, storing keys identifying users, and a term identifier column 116, storing keys identifying terms. The user-term table 112 provides a many-to-many mapping of users to terms. For example, multiple users may be associated with a single term, and a single user may similarly be associated with multiple terms. The table 112 further includes a confidence level column 118, which stores respective confidence level values, calculated in the manner described below, for each user-term pair. The confidence level value for each user-term pair provides an indication of how strongly the relevant term is coupled to the user, and how pertinent the term is in describing, for example, the knowledge base of the relevant user.

The term-document table 120 links terms to documents, and provides a record of which terms occurred within which document. Specifically, the term-document table 120 includes a term identifier column 122, storing keys

for terms, and a document identifier column 124, storing keys for documents. The table 120 further includes an adjusted count column 126, which stores values indicative of the number of occurrences of a term within a document, adjusted in the manner described below. For example, the first record within the table 120 records that the term "network" occurred within the document "e-mail 1" 2.8 times, according to the adjusted count.

The user-document table 130 links documents to users, and includes at least two columns, namely a user identifier column 132, storing keys identifying users, and a document identifier column 134, storing keys identifying various documents. For example, the first record within the exemplary user-document table 130 indicates that the user "Joe" is associated with the document "e-mail 1". This association may be based upon the user being the author or recipient of the relevant document.

## IDENTIFICATION OF KNOWLEDGE TERMS AND THE CALCULATION OF ASSOCIATED CONFIDENCE LEVEL VALUES

**Figure 7** is a flow chart illustrating a method 140, according to an exemplary embodiment of the present invention, of constructing a user knowledge profile. **Figure 7** illustrates broad steps that are described in further detail with reference to subsequent flow charts and drawings. The method 140 commences at step 142, and proceeds to decision box 144, wherein a determination is made as to whether an electronic document, for example in the form of an e-mail propagated from an e-mail client 18, is indicated as being a private document. This determination may be made at

the e-mail client 18 itself, at the e-mail server 23, or even within the knowledge site management server 27. This determination may furthermore be made by ascertaining whether the Ignore flag 86, incorporated within an e-mail message 85, is set to indicate the e-mail message 85 as private. As discussed above, the Ignore flag 86 may be set at a users discretion utilizing the profiling system 82, accessed via the user interface 80 within the extensions 19 to the e-mail client 18. In the event that the electronic document is determined to be private, the method 140 terminates at step 146, and no further processing of the electronic document occurs.

Alternatively, the method 140 proceeds to step 148, where confidence level values are assigned to various terms within the electronic document. At step 150, a user knowledge profile is constructed utilizing the terms within the electronic document to which confidence level values were assigned at step 148. The method 140 then terminates at step 146.

**Figure 8** is a flow chart illustrating a high-level method 148, according to an exemplary embodiment of the present invention, by which terms may be extracted from an electronic document, and by which confidence level values may be assigned such terms. The method 148 comprises two primary operations, namely a term extraction operation indicated at 152, and a confidence level value assigning operation, indicated at a 154. The method 148 implements one methodology by which the step 148 shown in **Figure 7** may be accomplished. The method 148 begins at step 160, and then proceeds to step 162, where an electronic document, such as for



example an e-mail, a database query, a HTML document and or a database query, is received at the knowledge site management server 27 via the mail system interface 42. For the purposes of explanation, the present example will assume that an e-mail message, addressed to the KS mailbox 25, is received at the knowledge site management server 27 via the mail system interface 42, from the e-mail server 23. At step 164, terms and associated information are extracted from the electronic document. Specifically, the e-mail message is propagated from the mail system interface 42 to the term extractor 46, which then extracts terms in the form of, for example, grammar terms, noun phrases, word collections or single words from the e-mail message. The term extractor 46 may further parse a header portion of the e-mail to extract information therefrom that is required for the maintenance of both the repository and user databases 56B and 56A. For example, the term extractor 46 will identify the date of transmission of the e-mail, and all addressees. The term extractor 46 will additionally determine further information regarding the electronic document and terms therein. For example, the term extractor 46 will determine the total number of words comprising the electronic document, the density of recurring words within the document, the length of each term (i.e., the number of words that constitute the term), the part of speech that each word within the document constitutes, and a word type (e.g., whether the word is a lexicon term). To this end, the term extractor 46 is shown in **Figure 2** to have access to a database 49 of lexicon terms, which may identify both universal lexicon

terms and environment lexicon terms specific to an environment within which the knowledge site management server 27 is being employed. For example, within a manufacturing environment, the collection of environment lexicon terms will clearly differ from the lexicon terms within an accounting environment.

Following the actual term extraction, a first relevancy indicator in the form of an adjusted count value is calculated for each term within the context of the electronic document at step 168. At step 170, a second relevancy indicator in the form of a confidence level is calculated for each term within the context of multiple electronic documents associated with a particular user. Further details regarding steps 168 and 170 are provided below. The method 148 then terminates at step 172.

**Figure 9A** is a flow chart illustrating a method 154, according to an exemplary embodiment of the present invention, of determining a confidence level for a term extracted from an electronic document.

Following the commencement step 180, a term and associated information is received at the confidence logic 45, included within the term extractor 46. While the confidence logic 45 is shown to be embodied in the term extractor 46 in **Figure 2**, it will be appreciated that the confidence logic 45 may exist independently and separately of the term extractor 46. In one embodiment, the associated information includes the following parameters:

1. A count value indicating the number of occurrences of the term within a single electronic document under consideration;

2. A density value, expressed as a percentage, indicating the number of occurrences of the term relative to the total number of terms within the electronic document;

5

3. A length of value indicating the total number of words included within the relevant term;

4. A Part of Speech indication indicating the parts of speech that words included within the term comprise (e.g., nouns, verbs, adjectives, or adverbs); and

5. A Type indication indicating whether the term comprises a universal lexicon term, an environment lexicon term, or is of unknown grammatical structure.

At step 184, a "binding strength", indicative of how closely the term is coupled to the electronic document under consideration, is determined. While this determination may be made in any number of ways, **Figure 10** shows an exemplary term-document binding table 200, utilizing which a class may be assigned to each of the extracted terms. Specifically, the term-document binding table 200 is shown to include three columns, namely a "number of occurrences" column 202, a density column 204, and an assigned class column 206. A term having a density value of greater than

four percent, for example, is identified as falling in the "A" class, a term having a density of between two and four percent is identified as falling in the "B" class, a term having a density of between one and two percent is identified as falling in the "C" class, while a term having a density of between 5 0.5 and one percent is identified as falling in the "D" class. For the terms having a density of above 0.5 percent, the density value is utilized to assign a class. For terms which have a density value less than 0.5 percent, the count value is utilized for this purpose. Specifically, a term having a count value of greater than 3 is assigned to the "E" class, and a term having a 10 count value of between 1 and 3 is assigned to the "F" class. Accordingly, the assigned class is indicative of the "binding strength" with which the term is associated with or coupled to the electronic document under consideration.

At step 186, a characteristic (or qualitative) indicator in the form of a 15 term weight value is determined, based on characteristics qualities of the term such as those represented by the Type and Part of Speech indications discussed above. While this determination may again be made in any number of ways, **Figure 11** shows an exemplary weight table 210, utilizing which a weight value may be assigned to each of the extracted terms. 20 Specifically, the weight table 210 is shown to include four columns, namely a weight column 212, a type column 214, a length column 216 and a Part of Speech column 218. By identifying an appropriate combination of type, length and Part of Speech indications, an appropriate term weight value is

assigned to each term. In the type column 214, a type "P" indication identifies an environment lexicon term, a type "L" indication identifies a universal lexicon term, and a type "U" indication identifies a term of unknown grammatical structure for a given length. The entries within the length  
5 column 216 indicate the number of words included within the term. The entries within the Part of Speech column 218 indicate the parts of speech that the words within a term comprise. The "A" indication identifies the adjectives, the "V" indication identifies a verb, the "N" indication identifies a noun, and the "X" indication identifies an unknown part of speech. By  
10 mapping a specific term to an appropriate entry within the weight table 210, an appropriate term weight value, as indicated in the weight column 212, may be assigned to the term.

At step 188, a relevancy quantitative indicator in the form of an adjusted count value for each term, is calculated, this adjusted count value  
15 being derived from the binding strength and term weight values calculated at steps 184 and 186. While this determination may again be made in any number of ways, **Figure 12** shows an exemplary occurrence factor table 220, utilizing which an adjusted count value for the relevant term may be determined. The occurrence factor table 220 is shown to include values for  
20 various binding strength/term weight value combinations. The adjusted count value is indicative of the importance or relevance of term within a single, given document, and does not consider the importance or relevance

of the term in view of any occurrences of the term in other electronic documents that may be associated with a particular user.

At step 190, a determination is made as to whether any adjusted count values exists for the relevant term as a result of the occurrence of the term in previously received and analyzed documents. If so, the adjusted count values for occurrences of the term in all such previous documents are summed.

At step 192, an initial confidence level values for the term is then determined based on the summed adjusted counts and the term weight, as determined above with reference to the weight table 210 shown in **Figure 11**. To this end, **Figure 13** illustrates a confidence level table 230, which includes various initial confidence level values for various summed adjusted count/weight value combinations that may have been determined for a term. For example, a term having a summed adjusted count of 0.125, and a weight value of 300, may be allocated an initial confidence level value of 11.5. Following the determination of an initial confidence level value, confidence level values for various terms may be grouped into "classes", which still retain cardinal meaning, but which standardize the confidence levels into a finite number of "confidence bands". **Figure 14** illustrates a modified table 240, derived from the confidence level table 230, wherein the initial confidence levels assigned are either rounded up or rounded down to certain values. By grouping into classes by rounding, applications (like e-mail addressing), can make use of the classes without specific

knowledge/dependence on the numerical values. These can then be tuned without impact to the applications. The modified confidence level values included within the table 240 may have significance in a number of applications. For example, users may request that terms with a confidence  
 5 level of greater than 1000 automatically be published in a "public" portion of their user knowledge profile. Further, e-mail addressees for a particular e-mail may be suggested based on a match between a term in the e-mail and a term within the user knowledge profile having a confidence level value of greater than, merely for example, 600.

10 The method 154 then terminates at step 194.

In a further embodiment of the present invention, the method 154, illustrated in **Figure 9A**, may be supplemented by a number of additional steps 195, as illustrated in **Figure 9B**, by which a "document weight" value is assigned to a document based on addressee information associated with  
 15 the document. The document weight value may be utilized in any one of the steps 182-192 illustrated in **Figure 9A**, for example, as a multiplying factor to calculate a confidence level value for a term. In one exemplary embodiment, the binding strength value, as determined at step 184, may be multiplied by the document weight value. In another exemplary  
 20 embodiment, the term weight value, as determined at step 186, may be multiplied by the document weight value.

The document weight value may be calculated by the confidence logic 45 within the term extractor 46. Referring to **Figure 9B**, at step 196,

the confidence logic 45 identifies the actual addressee information. To this end, the term extractor 46 may include a header parser (not shown) that extracts and identifies the relevant addressee information. At step 197, the confidence logic 45 then accesses a directory structure that may be

5 maintained by an external communication program for the purposes of determining the level of seniority within an organization of the addressees associated with the document. In one exemplary embodiment of the invention, the directory structure may be a Lightweight Directory Access Protocol (LDAP) directory maintained by a groupware server, such as

10 Microsoft Exchange or Lotus Notes. At step 198, a cumulative seniority level for the various addressees is determined by summing seniority values for each of the addressees. At step 199, the summed seniority value is scaled to generate the document weight value. In this embodiment, the cumulative or summed seniority level of the various addressees comprises

15 an "average" seniority value that is used for the purpose of calculating the document weight term. Alternatively, instead of summing in the seniority values at step 198, a "peak" seniority value (i.e., a seniority value based on the seniority level of the most senior addressee) may be identified and scaled at step 199 to generate the document weight value.

20 In alternative embodiments, the addressee information may be utilized in a different manner to generate a document weight value. Specifically, a document weight value may be calculated based on the number of addressees, with a higher number of addressees resulting in a



greater document weight value. Similarly, a document weight value may be calculated based on the number of addressees who are included within a specific organizational boundary (e.g., a specific department or division).

For example, an e-mail message addressed primarily to an executive group

- 5 may be assigned a greater document weight value than an e-mail message addressed primarily to a group of subordinates. Further, the document weight value may also be calculated using any combination of the above discussed addressee information characteristics. For example, the document weight value could be calculated using both addressee seniority
- 10 and addressee number information.

#### CONSTRUCTION OF A USER KNOWLEDGE PROFILE

**Figure 15A** is a flow chart illustrating a method 250, according to one exemplary embodiment of the present invention, of constructing a user profile that includes first and second portions that may conveniently be

15 identified as "private" and "public" portions. Specifically, unrestricted access to the "public" portion of the user knowledge profile may be provided to other users, while restricted access to the "private" portion may be facilitated. For example, unrestricted access may encompass allowing a user to review details concerning a user knowledge profile, and the target user, responsive

20 to a specific request and without specific authorization from the target user. Restricted access, on the other hand, may require specific authorization by the target user for the provision of information concerning the user knowledge profile, and the target user, in response to a specific request.

The method 250 commences at step 252, and then proceeds to step 254, where a determination is made regarding the confidence level value assigned to a term, for example using the method 154 described above with reference to **Figure 9A**. Having determined the confidence level value, the

5 method 250 proceeds to step 256, where a threshold value is determined. The threshold value may either be a default value, or a user specified value, and is utilized to categorize the relevant term. For example, users may set the threshold through the browser interface as a fundamental configuration for their profile. If set low, the user profile will be aggressively published to

10 the public side. If set high, only terms with a high level of confidence will be published. Users can also elect to bypass the threshold publishing concept altogether, manually reviewing each term that crosses the threshold (via the notification manager) and then deciding whether to publish. At decision box 258, a determination is made as to whether the confidence level value for

15 the term is less than the threshold value. If so, this may be indicative of a degree of uncertainty regarding the term as being an accurate descriptor of a user's knowledge. Accordingly, at step 260, the relevant term is then stored in the "private" portion of the user knowledge profile. Alternatively, should the confidence level value be greater than the threshold value, this

20 may be indicative of a greater degree of certainty regarding the term as an accurate descriptor of a user's knowledge, and the relevant term is then stored in the "public" portion of the user's knowledge profile at step 262. The method 150 then terminates at step 264.

Figure 16A shows an exemplary user-term table 112, constructed according to the method 250 illustrated in Figure 15A. Specifically, the table 112 is shown to include a first user knowledge profile 270 and a second user knowledge profile 280. The first user knowledge profile 270 is shown to include a "public" portion 272, and a "private" portion 274, the terms within the "private" portion 274 having an assigned confidence level value (as indicated in the confidence level column 118) below a threshold value of 300. The second user knowledge profile 280 similarly has a "public" portion 282 and a "private" portion 284.

The exemplary user-term table 112 shown in Figure 16A comprises an embodiment of the table 112 in which the public and private portions are determined dynamically with reference to a confidence level value assigned to a particular user-term pairing. Figure 16B illustrates an alternative embodiment of the user-term table 112 that includes a "private flag" column 119, within which a user-term pairing may be identified as being either public or private, and accordingly part of either the public or private portion of a specific user profile. While the state of a private flag associated with a particular user-term pairing may be determined exclusively by the confidence level associated with the pairing, in an alternative embodiment of the invention, the state of this flag may be set by other mechanisms. For example, as described in further detail below with reference to Figure 17E, a user may be provided with the opportunity manually to modify the private or public designation of a term (i.e., move a term between the public and

private portions of a user knowledge profile). A user may be provided with an opportunity to modify the private or public designation of a term in response to a number of events. Merely for example, a user may be prompted to designate a term as public in response to a "hit" upon a term in the private portion during a query process, such as during an "expert-lookup" query or during an "addressee-lookup" query.

When storing the term in the user knowledge profile at either steps 260 or 262, the allocation of the term to the appropriate portion may be made by setting a flag, associated with the term, in the "private flag" column 119 within the user-term table 112, as illustrated in **Figure 16B**. For example, a logical " 1" entry within the "private flag" column 119 may identify the associated term as being in the "private" portion of the relevant user knowledge profile, while a logical "0" entry within the "private flag" column 119 may identify the associated term as being in the "public" portion of the relevant user knowledge profile.

**Figure 15B** illustrates an exemplary method 260/262, according to one embodiment of the present invention, of storing a term in either a public or private portion of a user knowledge profile. Specifically, a respective term is added to a notification list at step 1264, following the determination made at decision box 258, as illustrated in **Figure 15A**. At decision box 1268, a determination is made as to whether a predetermined number of terms have been accumulated within the notification list, or whether a predetermined time period has passed. If these conditions are not met, the method waits

for additional terms to be added to the notification list, or for further time to pass, at step 1266, before looping back to the step 1264. On the other hand, should a condition within the decision box 1268 have been met, the method proceeds to step 1270, where the notification list, that includes a

5 predetermined number of terms that are to be added to the user knowledge profile, is displayed to a user. The notification list may be provided to the user in the form of an e-mail message, or alternatively the user may be directed to a web site (e.g., by a URL included within e-mail message) that displays the notification list. In yet a further embodiment, the notification list

10 may be displayed on a web or intranet page that is frequently accessed by the user, such as a home page. At step 1272, the user then selects terms that are to be included in the public portion of the user knowledge profile. For example, the user may select appropriate buttons displayed alongside the various terms within the notification list to identify terms for either the

15 public or private portions of the user knowledge profile. At step 1274, private flags, such as those contained within the "private flag" column 119 of the user-term table 112 as shown in **Figure 16B**, may be set to a logical zero "0" to indicate that the terms selected by the user are included within the public portion. Similarly, private flags may be set to a logical one "1" to

20 indicate terms that were not selected by the user for inclusion within the public portion are by default included within the private portion. It will of course be appreciated that the user may, at step 1272, select terms to be included within the private portion, in which case un-selected terms will by

default be included within the public portion. The method then ends at step 1280.

The above described method is advantageous in that a user is not required to remember routinely to update his or her user profile, but is instead periodically notified of terms that are candidates for inclusion within his or her user knowledge profile. Upon notification, the user may then select terms for inclusion within the respective public and private portions of the user knowledge profile. As such, the method may be viewed as a "push" model for profile maintenance.

#### METHOD OF ACCESSING A USER KNOWLEDGE PROFILE

While the above method 250 is described as being executed at the time of construction of a user knowledge profile, it will readily be appreciated that the method may be dynamically implemented as required and in response to a specific query, with a view to determining whether at least a portion of a user knowledge profile should be published, or remain private responsive to the relevant query. To this end, **Figure 17A** shows a flow chart illustrating a method 300, according to one exemplary embodiment of the present invention, of facilitating access to a user knowledge profile. The method 300 commences at step 302, and then proceeds to step 304, where a threshold value is determined. At step 306, a document term within an electronic document generated by a user (hereinafter referred to as a "query" user) is identified. Step 306 is performed by the term extractor 46 responsive, for example, to the receipt of an e-mail from the mail system

interface 42 within the knowledge gathering system 28. At step 308,  
comparison logic 51 within the term extractor 46 identifies a knowledge term  
within the repository 50 corresponding to the document term identified at  
step 306. The comparison logic 51 also determines a confidence level value  
5 for the identified knowledge term. At decision box 310, the comparison logic  
51 makes a determination as to whether the confidence level value for the  
knowledge term identified at step 308 is less than the threshold value  
identified at step 304. If not (that is the confidence level value is greater  
than the threshold value) then a public profile process is executed at step  
10 312. Alternatively, a private profile process is executed at step 314 if the  
confidence level value falls below the threshold value. The method 300 then  
terminates at step 316.

**Figure 17B** shows a flowchart illustrating an alternative method 301,  
according to an exemplary embodiment of the present invention, of  
15 facilitating access to a user knowledge profile. The method 301 commences  
at step 302, and then proceeds to step 306, where a document term within  
an electronic document generated by a user (i.e., the "query" user) is  
identified. The term extractor 46 performs step 306 responsive, for  
example, to the receipt of an e-mail message from the mail system interface  
20 42 within the knowledge gathering system 28. At step 308, the comparison  
logic 51 within the term extractor 46 identifies a knowledge term within the  
knowledge repository 50 corresponding to the document term identified at  
step 306. At decision box 311, the comparison logic 51 then makes a

determination as to whether a "private" flag for the knowledge term is set to indicate the relevant knowledge term as being either in the public or the private portion of a user knowledge profile. Specifically, the comparison logic 51 may examine the content of an entry in the private flag column 112 of a user-term table for a specific user-term pairing of which the knowledge term is a component. If the "private" flag for the knowledge term is set, thus indicating the knowledge term as being in the private portion of a user knowledge profile, the private profile process is executed at step 314. Alternatively, the public profile process is executed at step 312. The method 301 then terminates at step 316.

**Figure 17C** shows a flow chart detailing a method 312, according to an exemplary embodiment of the present invention, of performing the public profile process mentioned in **Figures 17A** and **17B**. The method 312 commences at step 320, and user information, the knowledge term corresponding to the document term, and the confidence level value assigned to the relevant knowledge term are retrieved at steps 322, 324, and 326. This information is then displayed to the query user at step 328, whereafter the method 312 terminates at step 330.

**Figure 17D** shows a flow chart detailing a method 314, according to an exemplary embodiment of the present invention, of performing the private profile process mentioned in **Figures 17A** and **17B**. The method 314 commences at step 340, and proceeds to step 342, where a user (herein after referred to as the "target" user) who is the owner of the knowledge



profile against which the hit occurred is notified of the query hit. This notification may occur in any one of a number of ways, such as for example via an e-mail message. Such an e-mail message may further include a URL pointing to a network location at which further information regarding the query hit, as well as a number of target user options, may be presented. At step 346, the reasons for the query hit are displayed to the target user. Such reasons may include, for example, matching, or similar, document and knowledge terms utilizing which the hit was identified and the confidence level value associated with the knowledge term. These reasons may furthermore be presented within the e-mail propagated at step 342, or at the network location identified by the URL embedded within the e-mail. At step 348, the target user then exercises a number of target user options. For example, the target user may elect to reject the hit, accept the hit, and/or modify his or her user knowledge profile in light of the hit. Specifically, the target user may wish to "move" certain terms between the public and private portions of the user knowledge profile. Further, the user may optionally delete certain terms from the user knowledge profile in order to avoid any further occurrences of hits on such terms. These target user options may furthermore be exercised via a HTML document at the network location identified by the URL. At decision box 350, a determination is made as to whether the user elected to modify the user knowledge profile. If so, a profile modification process, which is described below with reference to **Figure 17E**, is executed at step 352. Otherwise, a determination is made at

decision box 354 as to whether the target user rejected the hit. If so, the hit is de-registered at step 356. Alternatively, if the target user accepted the hit, the public profile process described above with reference to **Figure 17C** is executed at step 358. The method 314 then terminates at step 360.

5           **Figure 17E** is a flowchart illustrating a method 352, according to an exemplary embodiment of the present invention, for implementing the profile modification process illustrated at step 352 in **Figure 17D**. The method 352 commences at step 362, and then proceeds to display step 364, where the target user is prompted to (1) move a term, on which a "hit" has occurred,  
10   between the private and public portions of his or her user knowledge profile, or to (2) delete the relevant term from his or her user knowledge profile. Specifically, the target user may be presented with a user dialog, a HTML-enriched e-mail message, or a Web page, listing the various terms upon which hits occurred as a result of an inquiry, besides which appropriate  
15   buttons are displayed that allow the user to designate the term either to the included in the public or private portion of his or her user knowledge profile, or that allow the user to mark the relevant term for deletion from the user knowledge profile. At input step 366, the target user makes selections regarding the terms in the matter described above. At decision box 368, a  
20   determination is made as to whether the user selected terms for transfer between the public and private portions of the user profile, or for inclusion within the user profile. If so, the method 352 proceeds to step 370, wherein the appropriate terms are designated as being either public or private, in

accordance with the user selection, by setting appropriate values in the "private flag" column 119 within the user-term table, as illustrated in **Figure 16B**. Thereafter, the method proceeds to decision box 372, wherein a determination is made as to whether the user has elected to delete any of the terms presented at step 364. If so, the relevant terms are deleted from the user knowledge profile at step 374. The method is then terminates at step 378.

The methodologies described above with reference to **Figures 15** through **17E** are advantageous in that, where the confidence level of a term falls below a predetermined threshold, the owner of the user knowledge profile may elect to be involved in the process of determining whether a query hit is accurate or inaccurate. The owner of the user knowledge profile is also afforded the opportunity to update and modify his or her knowledge profile as and when needed. Further, the owner of the user knowledge profile is only engaged in the process for hits below a predetermined certainty level and on a public portion of the knowledge profile. Matches between document terms and knowledge terms in the public portion are automatically processed, without any manual involvement.

## METHOD FOR ADDRESSING AN ELECTRONIC DOCUMENT FOR TRANSMISSION OVER A NETWORK

Returning now briefly to **Figure 5**, the addressing system 84 within the e-mail client extensions 19 operates independently of the profiling system 82 to suggest potential recipients for an e-mail message based on

the content thereof. The user interface 80 within the e-mail client extensions 19 may pop-up a window when the system determines such suggestion is possible, based on the length of a draft message being sent, or may present a command button labeled "Suggest Recipients". This button is user selectable to initiate a sequence of operations whereby the author of the e-mail is presented with a list of potential recipients who may be interested in receiving the e-mail based on predetermined criteria, such as a match between the content of the e-mail and a user profile, or a commonality with a confirmed addressee.

**Figure 18A** is a flow chart illustrating a method 400, according to an exemplary embodiment of the present invention, of addressing an electronic document, such as an e-mail, for transmission over a network, such as the Internet or an Intranet. The method 400 commences at step 402, and then proceeds to step 401, where a determination is made as to whether the body of the draft message exceeds a predetermined length (or number of words). If so, content of the electronic document (e.g., an e-mail message body) is transmitted to the knowledge access server 26 via the web server 20 at step 404. Specifically, a socket connection is open between the e-mail client 18 and the web server 20, and the content of the message body, which may still be in draft form, is transmitted using the Hypertext Transfer Protocol (HTTP) via the web server 20 to the knowledge access server 26. At step 406, the knowledge access server 26 processes the message body, as will be described in further detail below. At step 408, the knowledge

access server 26 transmits a potential or proposed recipient list and associated information to the addressing system 84 of the e-mail client 18. Specifically, the information transmitted to the e-mail client 18 may include the following:

- 5           1. A list of user names, as listed within column 94 of the user table 90, as well as corresponding e-mail addresses, as listed within the column 98 of the user table 90;
2. A list of term identifiers, as listed in column 116 of the user-term table 112, that were located within the "public" portion of a user knowledge  
10       profile that formed the basis for a match between document terms within the message body and knowledge terms within the user knowledge profile; and
3. A "matching metric" for each user included in the list of user names (1). Each "matching metric" comprises the sum of the confidence  
15       level values, each multiplied by the weighted occurrences of the term within the message body, for the terms identified by the list of term identifiers (2) and associated with the relevant user. This "matching metric" is indicative of the strength of the recommendation by the knowledge access server 26 that the relevant user (i.e., potential recipient) be included within the list of confirmed addressees.
- 20           At step 410, the author of the electronic document is presented with a list of potential recipients by the e-mail client 18, and specifically by the addressing system 84 via a user dialog 440 as shown in **Figure 18D**.

**Figure 18D** groups matching levels into matching classes each characterized by a visual representation (icon).

The user dialog 440 shown in **Figure 18D** presents the list of potential recipients in a "potential recipients" scrolling window 442, wherein the names of potential recipients are grouped into levels or ranked classes according to the strength of the matching metric. An icon is also associated with each user name, and provides an indication of the strength of the recommendation of the relevant potential recipients. Merely for example, a fully shaded circle may indicate a high recommendation, with various degrees of "blackening" or darkening of a circle indicating lesser degrees of recommendation. A "rejection" icon may be associated with an actual recipient, and an example of such a "rejection" icon is indicated at 441. The "rejection" icon indicates a negative recommendation on an actual recipient supplied by the author of the message, and may be provided in response to a user manually modifying his or her profile to designate certain terms therein as generating such a "rejection" status for a recipient against which a hit occurs.

The user dialog 440 also presents a list of actual (or confirmed) recipients in three windows, namely a "to:" window 442, a "cc:" window 444 and a "bcc:" window 446. An inquiring user may move recipients between the potential recipients list and the actual recipients lists utilizing the "Add" and "Remove" buttons indicated at 450. The user dialog 440 also includes an array of "select" buttons 452, utilizing which a user can determine the

recommendation group to be displayed within the scrolling window 442. The user dialog 440 finally also includes "Explained Match" and "More" buttons 454 and 456, the purposes of which is elaborated upon below. As shown in **Figure 18D**, the author user may select an "Explain" function for any of the

5 proposed recipients utilizing the "Explain Match" button 454. If it is determined at decision box 412 that this "Explain" function has been selected, the method 400 branches to step 414, as illustrated in **Figure 18B**. Specifically, at step 414, the addressing system 84 propagates a further "Explain" query to the knowledge access server 26 utilizing HTTP, and

10 opens a browser window within which to display the results of the query. At step 416, the knowledge access server 26 retrieves the terms (i.e., the knowledge terms) that constituted the basis for the match, as well as associated confidence level values. This information is retrieved from the public portion of the relevant user knowledge profile in the knowledge

15 repository 50. At step 418, the information retrieved at step 416 is propagated to the client 18 from the knowledge access server 26 via the web server 20. The information is then displayed within the browser window opened by the e-mail client 18 at step 414. Accordingly, the author user is thus able to ascertain the reason for the proposal of a potential recipient by

20 the addressing system 84, and to make a more informed decision as to whether the proposed recipient should be included within the actual recipients (confirmed addressee) list.





If the user profile includes a "rejection" status on a term (something a user can do through manual modification of the profile), then a special symbol, such as that indicated 441 in **Figure 18D**, may be returned indicating a negative recommendation on a recipient supplied by the author of the message.

The exemplary method 400 discussed above is advantageous in that the knowledge access server 26 automatically provides the author user with a list of potential addressees, based on a matching between document terms identified within the message body of an e-mail and knowledge terms included within user profiles.

#### CASE CONTROL

**Figure 19** is a flow chart illustrating a method 500, according to one exemplary embodiment of the present invention, of managing user authorization to publish, or permit access to, a user knowledge profile. The method 500 is executed by the case controller 45A that tracks open "cases" and initiates notification to users concerning the status of such cases. For the purposes of the present specification, the term "case" may be taken to refer to a user authorization process for publication of, or access to, a user knowledge profile. The method 500 commences at step 502, and then proceeds to step 504, where a match is detected with a private portion of a user knowledge profile. At step 504, the case controller 45A then opens a case, and notifies the target user at step 506 concerning the "hits" or matches between a document (or query) term and a knowledge term in a

knowledge user profile. This notification may be by way of an e-mail message, or by way of publication of information on a Web page accessed by the user. At step 508, the case controller 45A determines whether an expiration date, by which the target user is required to respond to the hit,  
5 has been reached or in fact passed. If the expiration date has passed, the case controller 45A closes the case and the method 500 terminates.

Alternatively, a determination is made at decision box 510 as to whether the target user has responded to the notification by authorizing publication of, or access to, his or her user knowledge profile based on the hit on the private  
10 portion thereof. If the target user has not authorized such action (i.e., declined authorization), an inquiring user (e.g., the author user of an e-mail or a user performing a manual database search to locate an expert) is notified of the decline at step 512. Alternatively, should the target user have authorized publication or access, the inquiring user is similarly notified of the  
15 authorization at step 514. The notification of the inquiring user at steps 512 or 514 may be performed by transmitting an e-mail to the inquiring user, or by providing a suitable indication on a web page (e.g., a home page or search/query web page) accessed by the inquiring user. At step 516, the appropriate portions of the user profile pertaining to the target user are  
20 published to the inquiring user, or the inquiring user is otherwise permitted access to the user profile. At step 518, the case controller 45A then closes the case, whereafter the method terminates.

#### SUPPLEMENTAL METHOD OF IDENTIFYING CONFIDENCE VALUE

**Figures 7 - 9** describe an exemplary method 140 of identifying knowledge terms and calculating associated confidence level values. A supplemental method 550, according to an exemplary embodiment of the present invention, of assigning a confidence value to a term will now be described with reference to **Figures 20 - 22**. The supplemental method 550 seeks to compensate for a low confidence level value which may be associated with the term as a result of the term not appearing in any recent documents associated with a user. It will be appreciated that by calculating a confidence level value utilizing the method illustrated in **Figure 9**, aged terms (i.e., terms which have not appeared in recent documents) may be attributed a low confidence level value even though they may be highly descriptive of a specialization or knowledge of a user. The situation may occur where a user is particularly active with respect to a particular topic for a short period of time, and then re-focuses attention on another topic. Over time, the methodology illustrated in **Figure 9** may too rapidly lower the confidence level values associated with terms indicating user knowledge.

Referring to **Figure 20**, there is illustrated the exemplary method 550 of assigning a confidence value to a term. The method 550 commences at step 552, whereafter an initial confidence memory value (as distinct from a confidence level value) is assigned a zero (0) value. At step 556, a confidence level value for a term is calculated utilizing, for example, the method 154 illustrates in **Figure 9**. However, this confidence level value is only calculated for occurrences of the relevant term within a particular time

or document window. For example, in summing the adjusted count values at step 190 within the method 154, the adjusted count values for only documents received within a predetermined time (e.g., the past 30 days), or only for a predetermined number of documents (e.g., the last 30 documents) are utilized to calculate the summed adjusted count value. It will be appreciated that by discarding documents, which occurred before the time or document window, the effect on the confidence level values for aged terms by the absence of such aged terms within recent documents may be reduced.

At decision box 558, a determination is then made as to whether a newly calculated confidence level value for a term is greater than a previously recorded confidence memory value, or alternatively greater than a predetermined site-wide or system-wide threshold value. If the confidence level value is determined to be greater than the confidence memory value (or the threshold value), the confidence memory value is then made equal to the confidence level value by overwriting the previous confidence memory value with the newly calculated confidence level value. In this way, it is ensured that the confidence level value does not exceed the confidence memory value.

**Figure 22** is an exemplary user-term table 112, according to one embodiment of the present invention, that is shown to include a confidence level column 118, a confidence memory value column 121, and a time stamp column 123. The table 122 records a confidence level value and a

confidence memory value for each user-term pairing within the table 112,  
and it is to this table that the confidence level values and the confidence  
memory values are written by the method 550. The time stamp column 123  
records a date and time stamp value indicative of the date and time at which  
5 the corresponding confidence memory value was last updated. This value  
will accordingly be updated upon the overwriting of the confidence memory  
value at step 560.

Should the confidence level value not exceed the confidence memory  
value or the threshold value, as determined at decision box 558, the method  
10 550 then proceeds to decision box 562, where a further determination is  
made as to whether another time or document window, associated with a  
step of decaying the confidence memory value, has expired. If not, the  
confidence memory value is left unchanged at step 564. Alternatively, if the  
time or document window associated with the decay step has expired, the  
15 confidence memory value is decayed by a predetermined value or  
percentage at step 566. For example, the confidence memory value may be  
decayed by five (5) percent per month. The time stamp value may be  
utilized to determine the window associated with the decay step. The time  
stamp value associated with the decayed confidence memory value is also  
20 updated at step 566. The method 550 then terminates at step 568.

**Figure 21** is a flowchart illustrating an exemplary method 570,  
according to one embodiment of the present invention, of determining or  
identifying a confidence value (e.g., either a confidence level value or a

confidence memory value) for a term. The method 570 may be executed in performance of any of the steps described in the preceding flow charts that require the identification of a confidence level value for a term in response to a hit on the term by a document term (e.g., in an electronic document or other query). The method 570 commences at step 572, and proceeds to step 574, where a confidence level value for a term within a user profile is identified. For example, the confidence level value may be identified within the user-term table 112 illustrated in **Figure 22**. At step 576, a confidence memory value for the term may then also be identified, again by referencing the user-term table 112 illustrated in **Figure 22**. At decision box 578, a determination is then made as to whether the confidence level value is greater than the confidence memory value. If the confidence level value is greater than the confidence memory value, the confidence level value is returned, at step 580, as the confidence value. Alternatively, should the confidence memory value be greater than the confidence level value, the confidence memory value is returned, at step 582, as the confidence value. The method 570 then terminates at step 584.

Accordingly, by controlling the rate at which a confidence value for a term is lowered or decayed, the present invention seeks to prevent having a potentially relevant term ignored or overlooked.

#### COMPUTER SYSTEM

**Figure 23** is a diagrammatic representation of a machine in the form of computer system 600 within which software, in the form of a series of

machine-readable instructions, for performing any one of the methods discussed above may be executed. The computer system 600 includes a processor 602, a main memory 603 and a static memory 604, which communicate via a bus 606. The computer system 600 is further shown to include a video display unit 608 (e.g., a liquid crystal display (LCD) or a cathode ray tube (CRT)). The computer system 600 also includes an alphanumeric input device 610 (e.g., a keyboard), a cursor control device 612 (e.g., a mouse), a disk drive unit 614, a signal generation device 616 (e.g., a speaker) and a network interface device 618. The disk drive unit 614 accommodates a machine-readable medium 615 on which software 620 embodying any one of the methods described above is stored. The software 620 is shown to also reside, completely or at least partially, within the main memory 603 and/or within the processor 602. The software 620 may furthermore be transmitted or received by the network interface device 618. For the purposes of the present specification, the term "machine-readable medium" shall be taken to include any medium that is capable of storing or encoding a sequence of instructions for execution by a machine, such as the computer system 600, and that causes the machine to performing the methods of the present invention. The term "machine-readable medium" shall be taken to include, but not be limited to, solid-state memories, optical and magnetic disks, and carrier wave signals.

**Figure 24** is a flowchart illustrating a method 700, according to an alternate embodiment of present invention, of accessing a knowledge profile

of a potential target responsive to a query. The method 700 commences at step 702, and proceeds to step 704 wherein query terms to be compared to knowledge terms within a user knowledge profile are identified. In one exemplary embodiment, where the query is to identify and suggest targets for an electronic document (e.g., an e-mail or a report), the query terms may comprise selected terms of the relevant electronic document. Alternatively, the query terms may be search terms inputted by an originator of the query.

At step 706, a first matching operation is performed between the relevant query terms and knowledge terms (or other parameters) in a "public" portion of each user knowledge profile that is accessible by the method 700. At step 708, a public profile process (such as that described above with reference to Figure 17C) is performed. Specifically, at step 708, the originator of the query is presented with the name of the target, a confidence level for the respective match, and other user profile information for each target of a first set of targets for which a match occurred between the query terms and the knowledge terms of the respective user. Each respective match may furthermore be assigned a "matching metric" based on the sum of the confidence levels of the knowledge terms that matched the query terms.

At decision box 710, the originator is presented with the further option of performing an expanded search or query of the user knowledge profile database (conveniently termed a "knowledge sweep"). Should the originator elect not to perform this expanded query, the method 700 terminates at step



712.

Alternatively, the originator of the query may elect to perform a "knowledge sweep", following which at step 714 the originator may specify various query options, which are combined as appropriate. For example, the originator may specify a "matching metric" requirement in terms of which the query only returns matches for which a matching metric is above a predetermined minimum. The originator may similarly specify that matches above a predetermined minimum matching metric, and that have already been presented within the first set of targets presented at step 708, are not included within the results of the expanded query. The originator may also specify a predetermined "maximum number" of matches to be returned responsive to the expanded query, and an expiration interval by which potential targets should respond before the expanded query is closed. Further, the originator may specify response options for a response by a potential target to the expanded query. For example, the originator may specify that a potential target should respond by return e-mail that includes specified information (e.g., only an identifier or further information).

At step 716, the "knowledge sweep" expanded query is launched, and the query terms are compared to knowledge terms within both the public and private portions of an accessible collection of user knowledge profiles. It will be appreciated that the matching operation performed at step 716 differs from that performed at step 706, in that both private and public portions of user knowledge profile are accessed for the purposes of

detecting matches at step 716, whereas only the respective public portions of user knowledge profile are accessed at step 706. The targets for which matches are detected following completion of the step 716 may conveniently be referred to as a second set of targets.

5           At step 718, the number of targets included within the second set of targets is reduced based upon the query options specified at step 714. For example, those targets for which the "matching metric" falls below the predetermined minimum matching metric may be removed from the second set of targets. Similarly, the targets within the second targets may be ranked  
10           according to the strength of the matching metric assigned to the match between the relevant user knowledge profile and the query, and the second set may be reduced to include a maximum number of targets that have the strongest confidence levels. At step 718, those targets of the second set that have already been located, and included within the first set of targets  
15           communicated to the originator at step 708, are also removed from the second set of targets.

          At step 720, the number of targets in the second set may also be reduced based on various participation options specified by the targets included within the second set. For example, a specific user may have  
20           indicated that he or she wishes to participate:

1.       In all "knowledge sweep" queries;
2.       Only when the matching metric of the match resulting from a "knowledge sweep" query is above a predetermined threshold;

3. Only when the "knowledge sweep" query pertains to a specified interest area, or interest areas;
4. Only when the match has a matching metric within a predetermined top number of matches; or
5. E-mail "knowledge sweep" queries (i.e., an e-mail is sent to the target when the target is not already recorded as a potential target and a match occurs).

At step 722, each of the targets within the reduced second set of targets is notified of the "knowledge sweep" expanded query. For example, a target may receive an "alert" and optionally an e-mail notification. In an alternative embodiment, a client pop-up notification may be implemented in the event that the target is operating a client application to the knowledge access server 26. The e-mail notification includes (1) a URL that may link to an "alert" page generated by the Web 720 and (2) an expiration interval (e.g., the expiration interval specified at step 714 by the originator) for which a response from the target should be received. The target may also be presented with the original text of the query (e.g., search terms or selected terms from an electronic document such as an e-mail) and the name (and further details, such as profile details) of the originator so that the originator does not remain anonymous.

At step 724, the targets may exercise any one of a number of response options. For example, the target may return his or her identity to the originator, send an e-mail to the originator, refuse the query, suppress

the query terms or the originator, or refer the query to a further target (e.g., a person or an e-mail address). The refusal of the query comprises a "do nothing" response, and the knowledge site management server 27 does not return a negative match. In this way, the originator is not advised of the identity of a target located by a "knowledge sweep" expanded query if the relevant target refuses the query. In the case where the query is referred to a further target, the actual referral is not propagated or communicated to the further target that communicated to the originator. The reference, as viewed by the originator, will identify both the further target and the original target that performed the referral. In this way, referring cannot be performed anonymously.

At step 726, the progressive return of target identifiers to the originator, responsive to the "knowledge sweep" query, is displayed to the originator within, for example, a Web page dynamically generated for the originator by the Web server 20 responsive to input from the knowledge site management server 27.

At step 728, the knowledge site management server 27 pools the referrals to a further target received from multiple targets in the second set targets. Accordingly, only a single identifier for the further target is displayed to the originator, but will indicate each of the targets of the second set of targets that referred to the further target.

At decision box 730, a determination is made as to whether the "knowledge sweep" expanded query has expired. If not, the method 700

loops back to step 724. This determination is made with reference to the expiration interval specified by the originator at step 714. Alternatively, should the query have expired, the query is removed from an alert area of a Web page generated for each target of the second set, and the query is archived at step 732. The method 700 terminates at step 734.

**Figure 25** is a flowchart illustrating a method 800, elaborating on method 700, of determining whether the “knowledge sweep” expanded query has expired, as shown in box 730 of **Figure 24**. To make the determination of box 730, the method 800 commences at box 802 and proceeds to box 804, where it is determined if an expiration parameter exists in the query option. If an expiration parameter exists, then at box 806, it is determined if the expiration parameter has been satisfied. If the expiration parameter exists and the expiration parameter has been satisfied, then the method 800 ends at box 808 and processing proceeds to box 732 of **Figure 24**. If no expiration parameter exists, or if the expiration parameter has not been satisfied, then the method 800 terminates at box 810, and processing resumes at box 724 of **Figure 24**, where targets exercise response options.

An expiration parameter may comprise an expiration interval, or a predetermined "maximum number" of matches (as discussed previously), for example, such that an expiration parameter is satisfied if the potential targets do not respond before the expiration interval, or if the “maximum number” of matches responsive to the expanded query is received by an originator. Thus, if the potential targets do not respond prior to the

expiration interval, or if the “maximum number” of matches responsive to the expanded query is received by an originator, then the query will expire. It should be apparent, however, that expiration parameters are not so limited, and that other expiration parameters may be used.

5           Thus, a method and apparatus for querying a profile over a network have been described. Although the present invention has been described with reference to specific exemplary embodiments, it will be evident that various modifications and changes may be made to these embodiments without departing from the broader spirit and scope of the invention.

10         Accordingly, the specification and drawings are to be regarded in an illustrative rather than a restrictive sense.

## CLAIMS

What is claimed is:

- 1 1. A method of querying a knowledge profile, comprising:  
2 responsive to a first query, including a first query term, from an  
3 originator, accessing a public portion of a knowledge profile for  
4 each of a plurality of potential targets, the public portion of  
5 each knowledge profile including public knowledge terms  
6 indicative of a knowledge base of a potential target;  
7 performing a first matching operation between the query term and  
8 public knowledge terms within the public portion of each  
9 knowledge profile to identify a first set of targets for which a  
10 match exists between the query term and at least one public  
11 knowledge term;  
12 publishing the first set of targets to the originator;  
13 responsive to a second query from the originator, accessing the  
14 private portion of a knowledge profile for each of the plurality of  
15 potential targets of the electronic document, the private portion  
16 of each knowledge profile including private knowledge terms  
17 indicative of a knowledge base of a potential target;  
18 performing a second matching operation between the query term and  
19 the private knowledge terms within the private portion of each  
20 knowledge profile to identify a second set of targets for which a

21 match exists between the query term and at least one private  
22 knowledge term;  
23 prompting each target of the second set of targets for authorization to  
24 be published to the originator; and  
25 specifying a query expiration parameter with respect to the second  
26 query after which the second query is retired.

1 2. The method of claim 1, wherein said specifying a query expiration  
2 parameter comprises specifying a query expiration interval with  
3 respect to the second query after which the second query is retired.

1 3. The method of claim 1, wherein said specifying a query expiration  
2 parameter comprises specifying a maximum number of matches with  
3 respect to the second query, wherein the second query is retired if the  
4 maximum number of matches is found with respect to the second  
5 query.

1 4. A machine-readable medium having stored thereon data representing  
2 sequences of instructions, the sequences of instructions which, when  
3 executed by a processor, cause the processor to perform the  
4 following:  
5 responsive to a first query, including a first query term, from an  
6 originator, accessing a public portion of a knowledge profile for  
7 each of a plurality of potential targets, the public portion of



8           each knowledge profile including public knowledge terms  
9           indicative of a knowledge base of a potential target;  
10          performing a first matching operation between the query term and  
11           public knowledge terms within the public portion of each  
12           knowledge profile to identify a first set of targets for which a  
13           match exists between the query term and at least one public  
14           knowledge term;  
15          publishing the first set of targets to the originator;  
16          responsive to a second query from the originator, accessing the  
17           private portion of a knowledge profile for each of the plurality of  
18           potential targets of the electronic document, the private portion  
19           of each knowledge profile including private knowledge terms  
20           indicative of a knowledge base of a potential target;  
21          performing a second matching operation between the query term and  
22           the private knowledge terms within the private portion of each  
23           knowledge profile to identify a second set of targets for which a  
24           match exists between the query term and at least one private  
25           knowledge term;  
26          prompting each target of the second set of targets for authorization to  
27           be published to the originator; and  
28          specifying a query expiration parameter with respect to the second  
29           query after which the second query is retired.

- 1 5. The medium of claim 4, wherein said specifying a query expiration  
2 parameter comprises specifying a query expiration interval with  
3 respect to the second query after which the second query is retired.
- 1 6. The medium of claim 4, wherein said specifying a query expiration  
2 parameter comprises specifying a maximum number of matches with  
3 respect to the second query, wherein the second query is retired if the  
4 maximum number of matches is found with respect to the second  
5 query.
- 1 7. A system for querying a knowledge profile, comprising:  
2 one or more clients to send queries from originators;  
3 a knowledge server to:  
4 receive queries sent from any of the clients;  
5 responsive to a first query from one of the clients, including a  
6 first query term, from the originator, access a public  
7 portion of a knowledge profile for each of a plurality of  
8 potential targets, the public portion of each knowledge  
9 profile including public knowledge terms indicative of a  
10 knowledge base of a potential target;  
11 perform a first matching operation between the query term and  
12 public knowledge terms within the public portion of each

- 2

3 with respect to the second query after which the second query is  
4 retired.

1 9. The system of claim 7, wherein the knowledge server specifies a  
2 query expiration parameter by specifying a maximum number of  
3 matches with respect to the second query, wherein the second query  
4 is retired if the maximum number of matches is found with respect to  
5 the second query.

### **ABSTRACT OF THE DISCLOSURE**

A method of querying a user profile commences with a first access to a public portion of a knowledge profile for each of a plurality of potential targets of the electronic document, the public portion of each knowledge profile including public knowledge terms indicative of a knowledge base of a potential target of the electronic document. The first access is responsive to a first query received from an originator. A first matching operation is performed between a document term within the electronic document and public knowledge terms within the public portion of each knowledge profile to identify a first set of targets for which a match exists between the document term and at least one public knowledge term. The first set of targets is published to the originator. Responsive to a second query from the originator, the private portion of a knowledge profile for each of the plurality of potential targets of the electronic document is accessed, the private portion of each knowledge profile including private knowledge terms indicative of a knowledge base of a potential target of the electronic document. A second matching operation between the document term within the electronic document and the private knowledge terms within the private portion of each knowledge profile is performed to identify a second set of targets for which a match exists between the document term and at least one private knowledge term. Each target of the second set of targets is then prompted for authorization to be published to the originator.

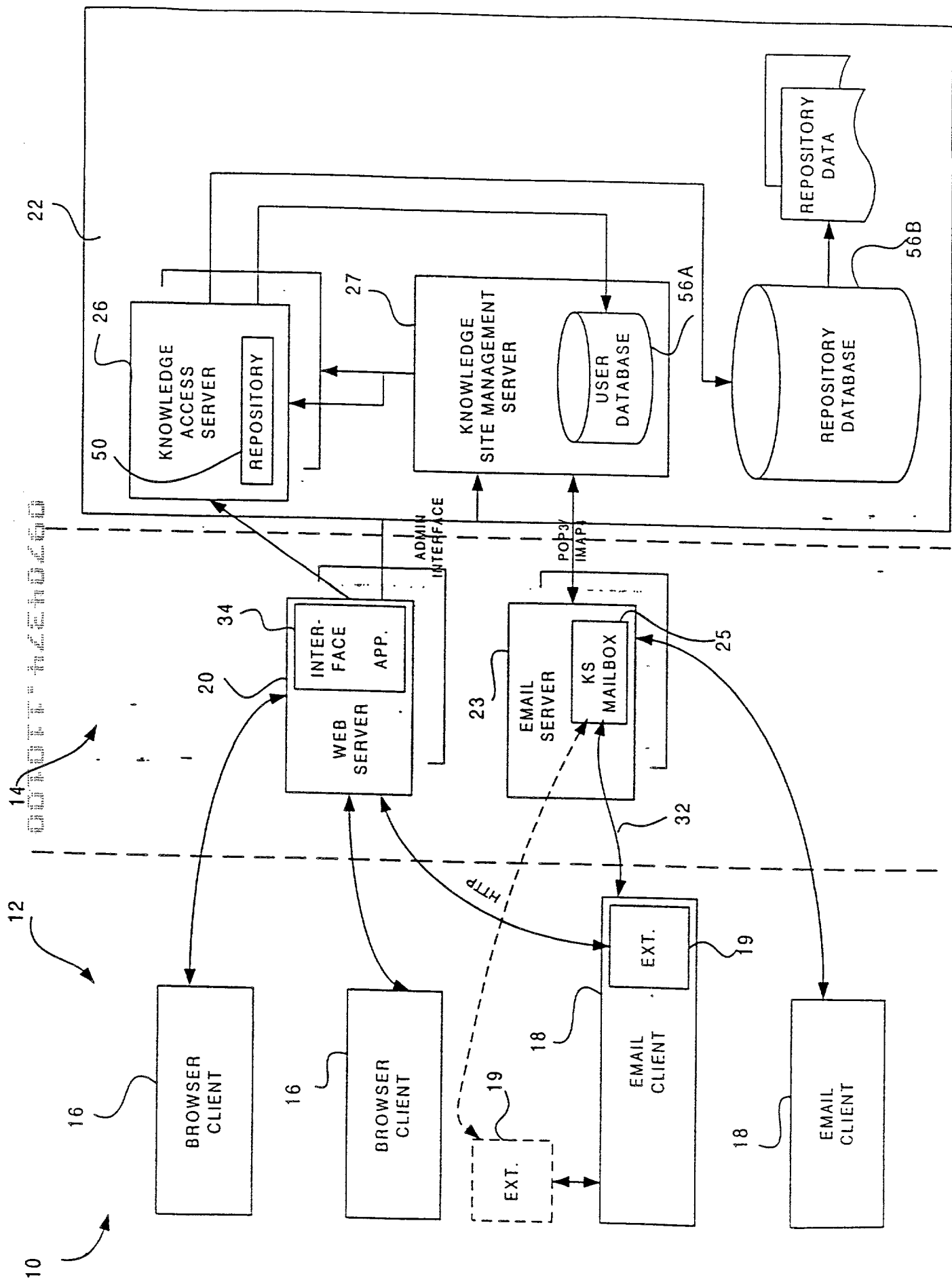
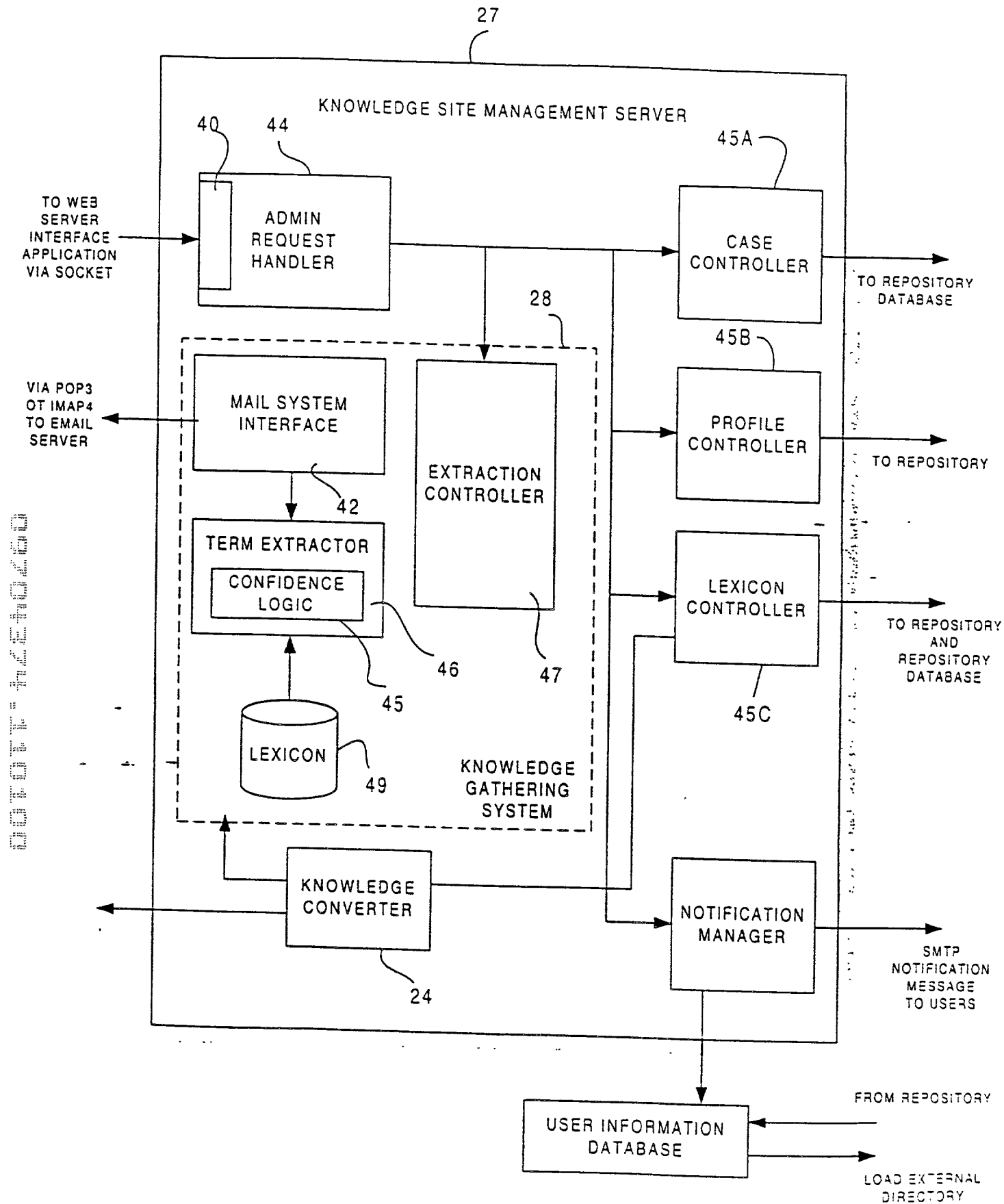


FIGURE 1



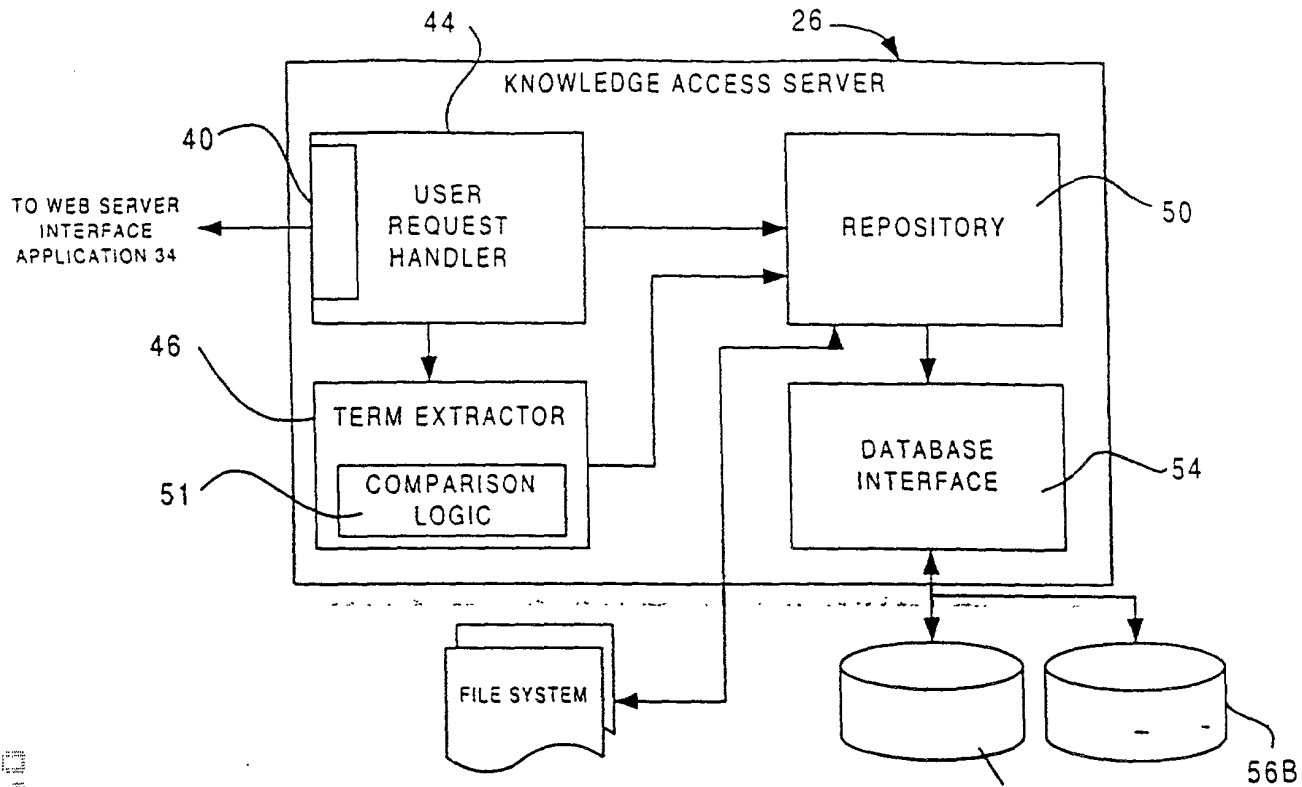


FIGURE 3

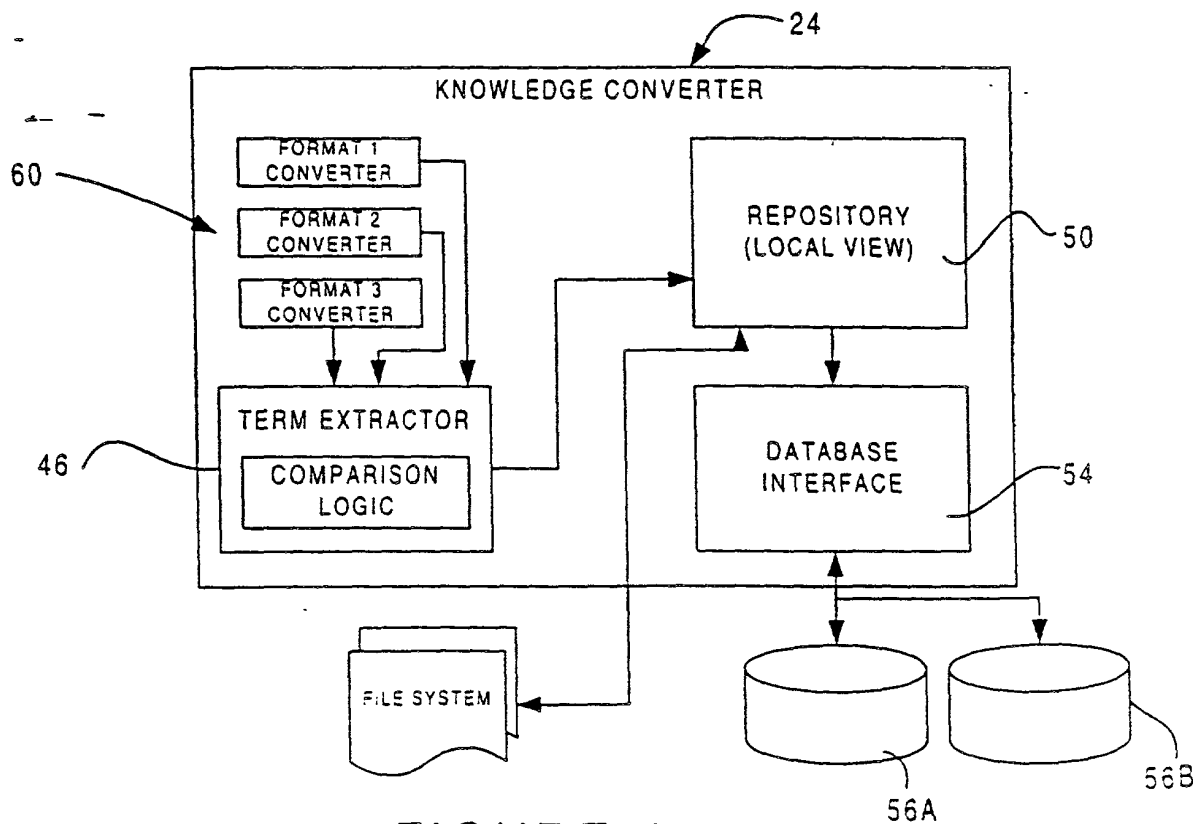


FIGURE 4



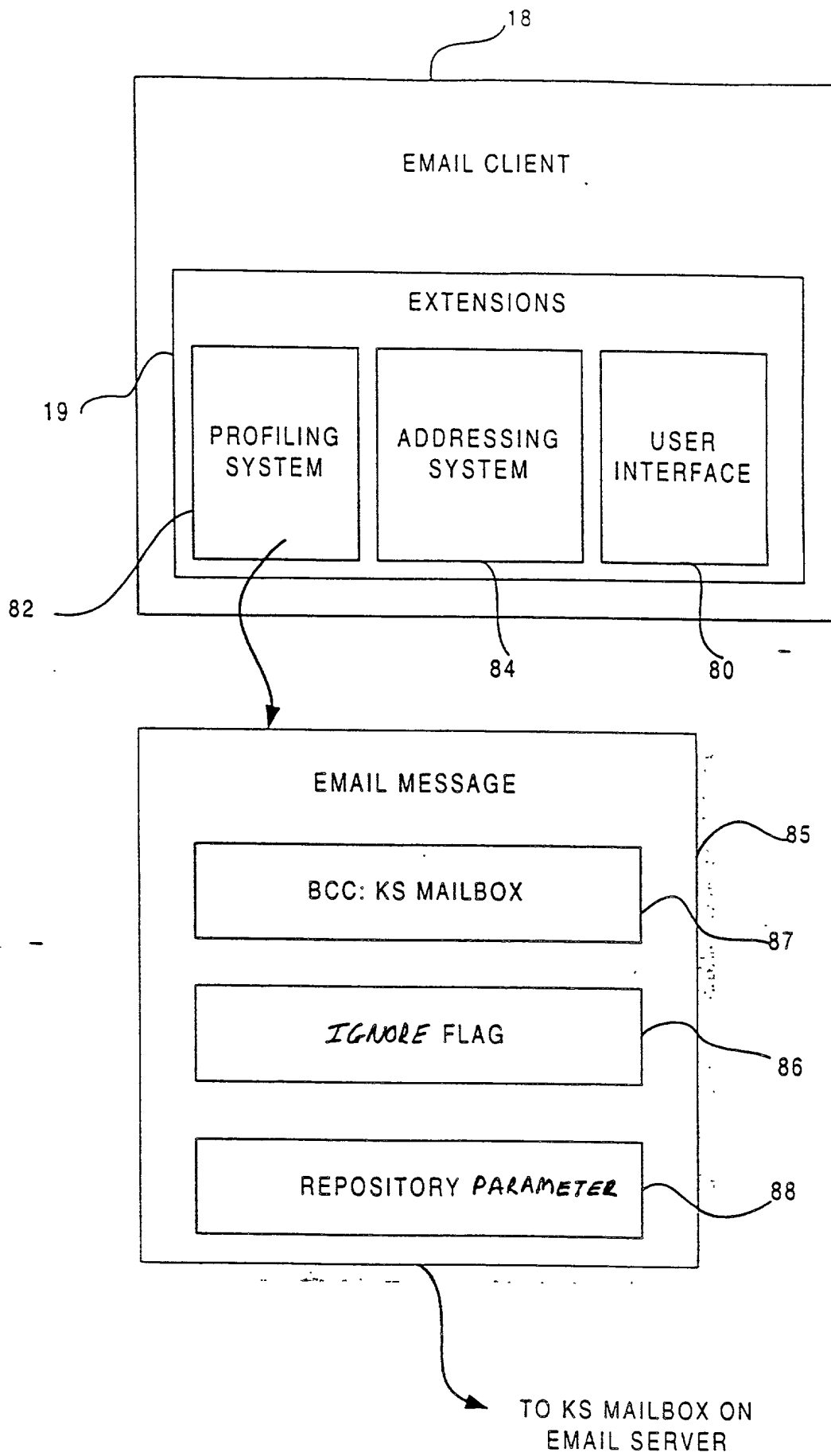


FIGURE 5

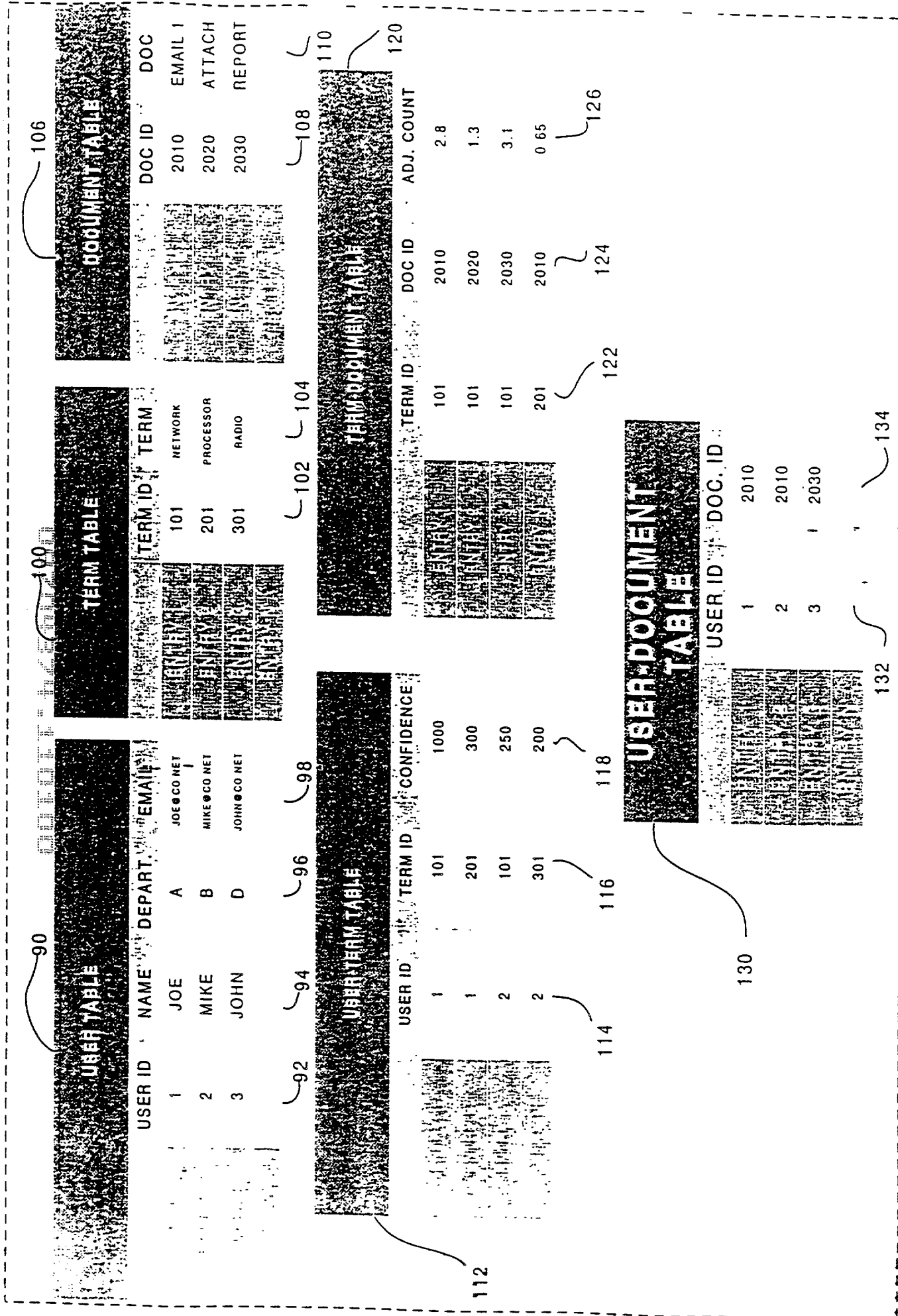


FIGURE 6

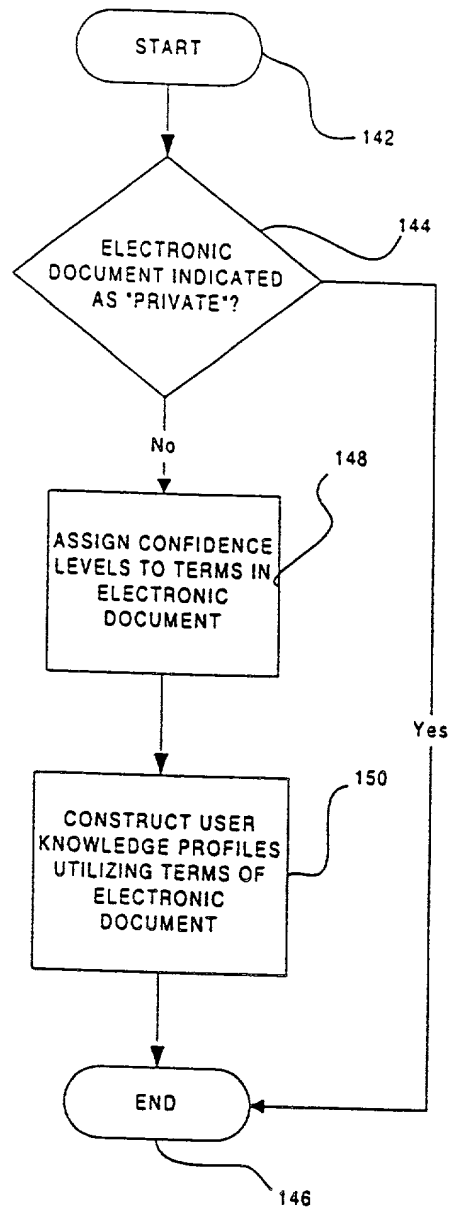


FIGURE 7

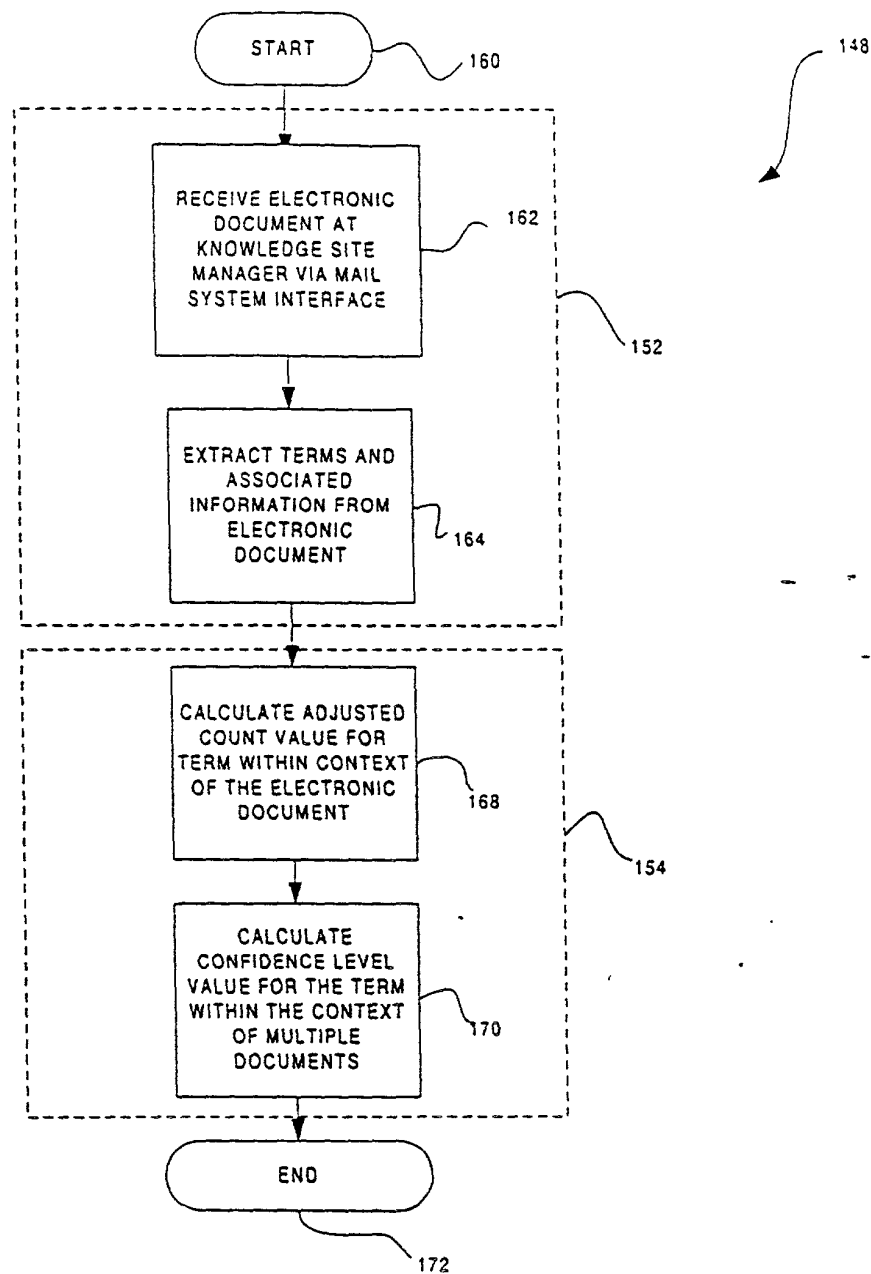


FIGURE 8

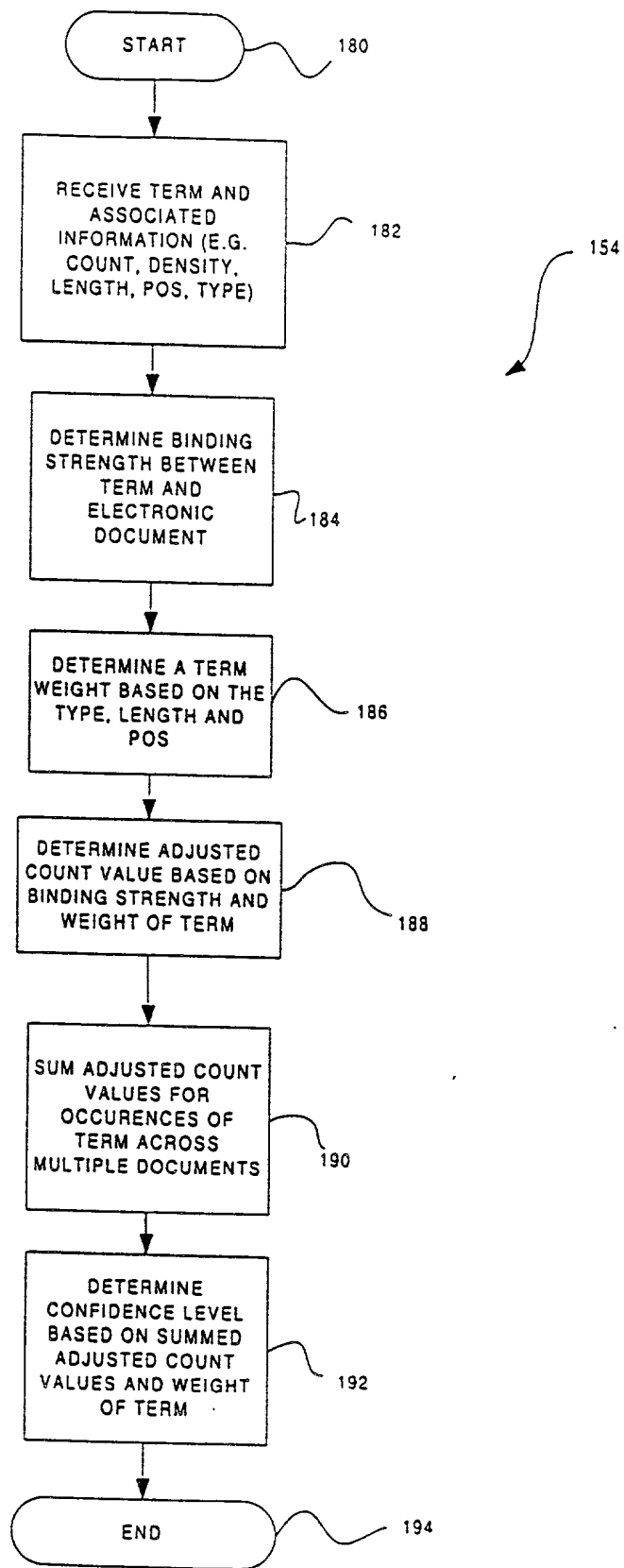


FIGURE 9A



200

TERM-DOCUMENT BINDING TABLE		
CLASS	NO. OF OCCURRENCES	DENSITY
A	X	4.00%
B	X	2.00%
C	X	1.00%
D	X	0.5%
E	3	X
F	1	X

204

202

206

FIGURE 10

210

218

FIGURE 11




DOT-42060

1  
1  
1

220

	A	B	C	D	E	F
10	0	0	0	0	0	0
30	0	0	0	0	0	0
100	0.4	0.3	0.2	0.1	0.05	0
150	0.8	0.7	0.6	0.5	0.4	0.1
300	1.5	1.4	1.3	1	0.5	0.1
320	1.6	1.5	1.4	1.1	0.6	0.1
400	1.9	1.8	1.5	1.2	0.7	0.1
450	2	1.9	1.6	1.3	1	0.1

FIGURE 12



	0.063	0.125	>>>>>	32	64	128
10	0.1	0.2	>>>>>	55	100	200
30	0.3	0.6	>>>>>	180	350	600
100	1.6	2.8	>>>>>	600	1000	2100
150	2.5	5	>>>>>	1100	2000	5000
300	6.5	11	>>>>>	2700	6000	15000
320	7.1	11.5	>>>>>	2900	7000	16000
400	8	15	>>>>>	3500	8000	20000
450	9	18	>>>>>	4200	9000	24000

FIGURE 1.3

	0068	0125	>>>>>	32	64	128
10	0	0	>>>>>	50	100	200
30	0	0	>>>>>	150	350	600
100	0	0	>>>>>	600	1000	1000
150	0	0	>>>>>	1000	1000	1000
300	0	0	>>>>>	1000	1000	1000
320	0	0	>>>>>	1000	1000	1000
400	0	25	>>>>>	1000	1000	1000
450	0	25	>>>>>	1000	1000	1000

FIGURE 14

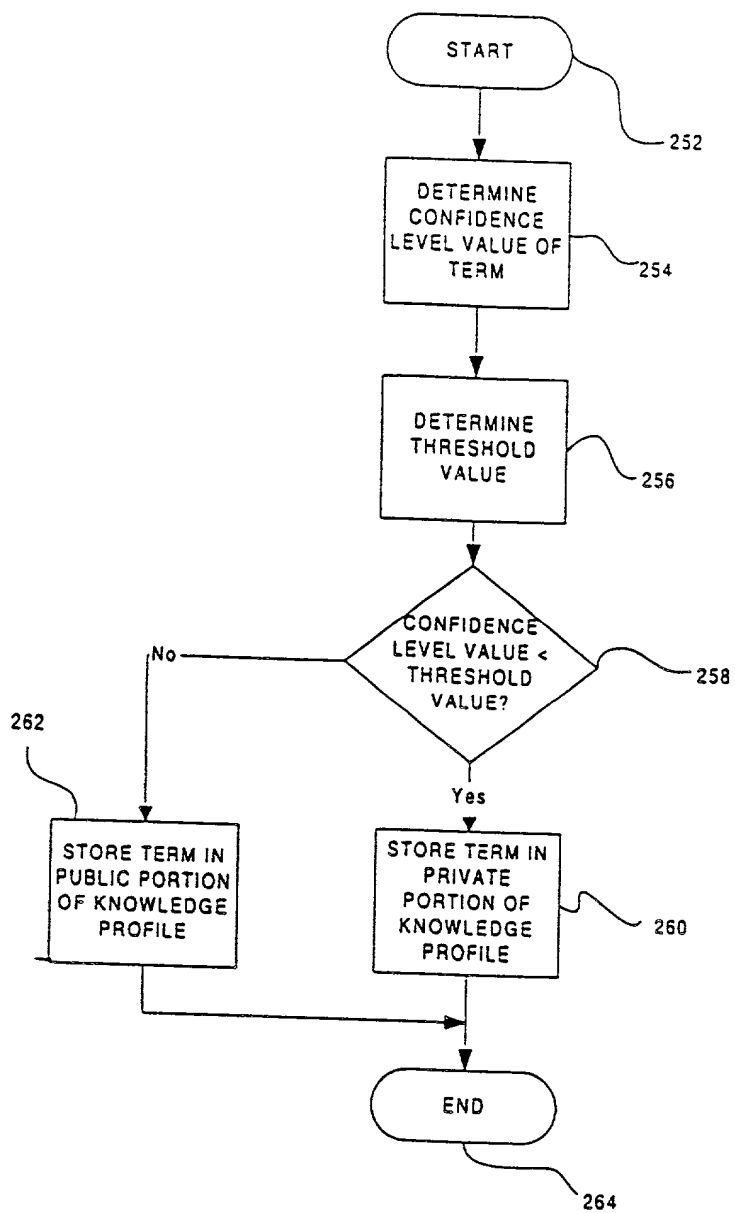


FIGURE 15A

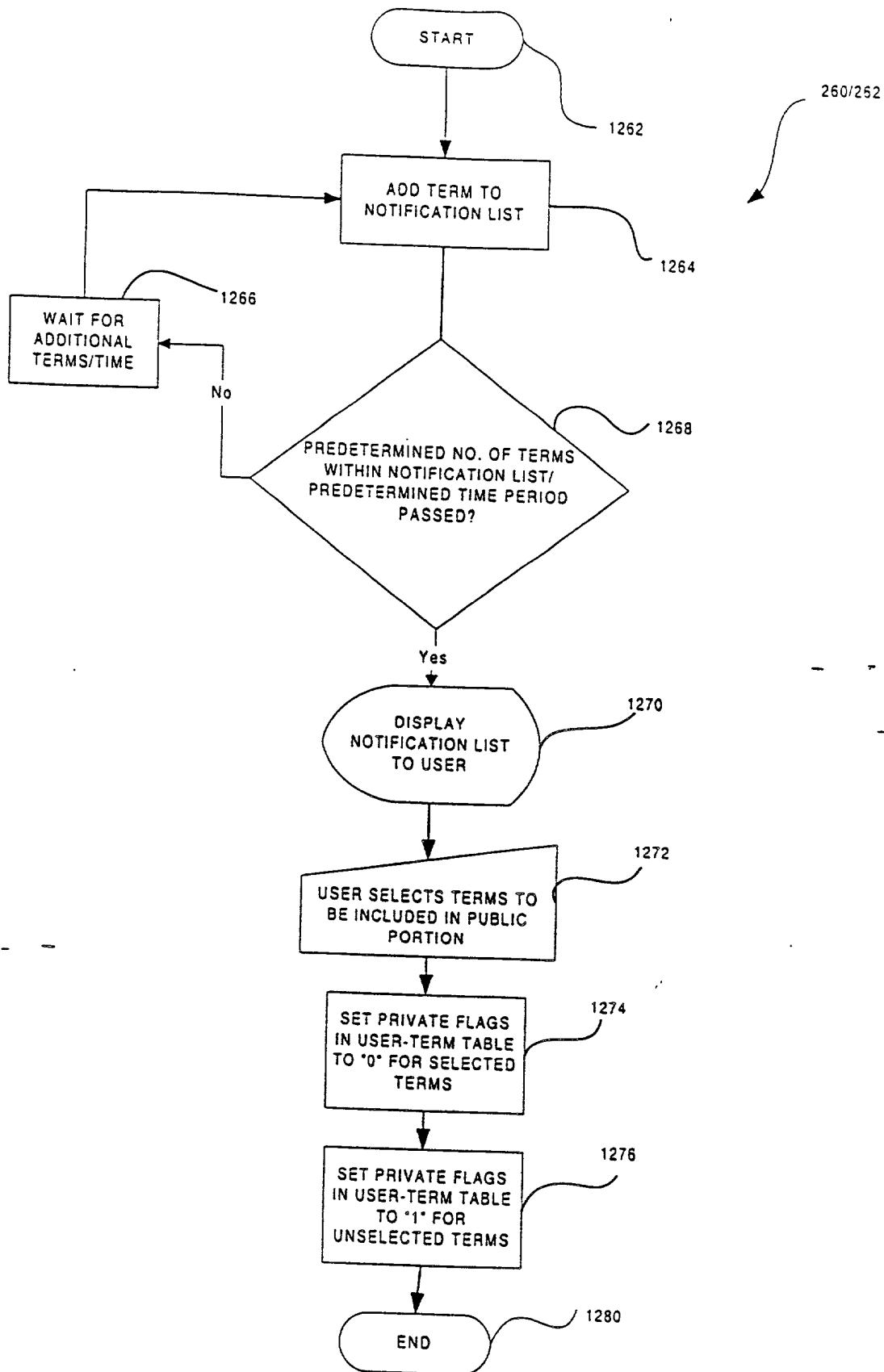


FIGURE 15B

CONFIDENTIAL

112

USER ID	TERM ID	CONFIDENCE LEVEL
1	101	990
1	106	976
1	207	950
.	.	.
.	.	.
.	.	.
1	67	310
1	98	300
1	116	290
1	190	287
.	.	.
.	.	.
.	.	.
8	107	995
8	128	992
8	154	900
.	.	.
.	.	.
.	.	.
8	62	370
8	8	300
8	52	207
8	261	200
.	.	.
.	.	.
.	.	.

270

272

274

280

282

284


92

94

118

FIGURE 16A

112



USER ID	TERM ID	CONFIDENCE LEVEL	PRIVATE FLAG
1	101	990	0
1	106	976	0
1	207	950	1
.	.	.	.
.	.	.	.
.	.	.	.
1	67	310	0
1	98	300	1
1	116	290	0
1	190	287	0
.	.	.	.
.	.	.	.
.	.	.	.
8	107	995	1
8	128	992	0
8	154	900	0
.	.	.	.
.	.	.	.
.	.	.	.
8	62	370	0
8	8	300	0
8	52	207	0
8	261	200	0
.	.	.	.
.	.	.	.
.	.	.	.

92 94 118 119

FIGURE 16B

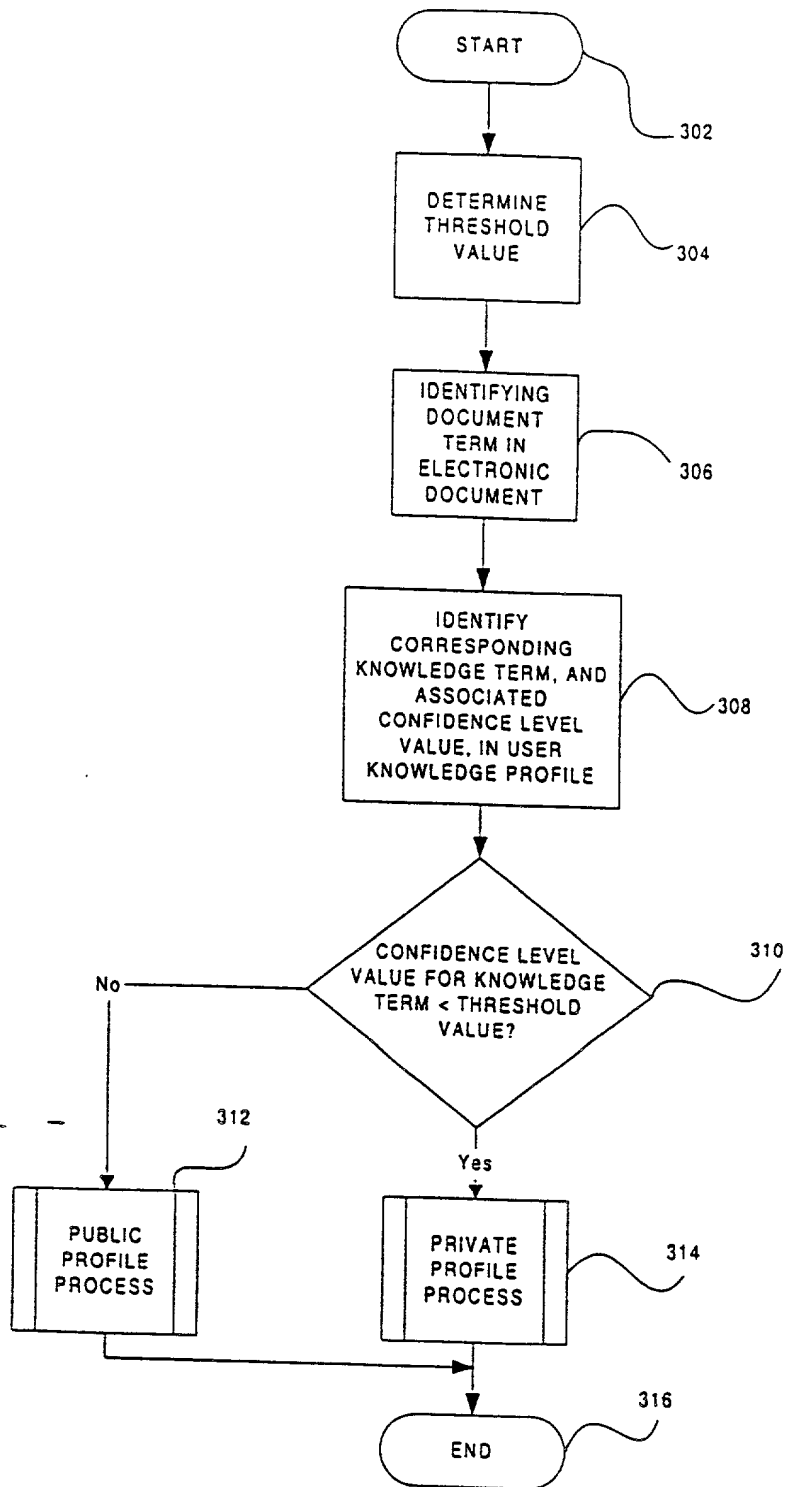


FIGURE 17A



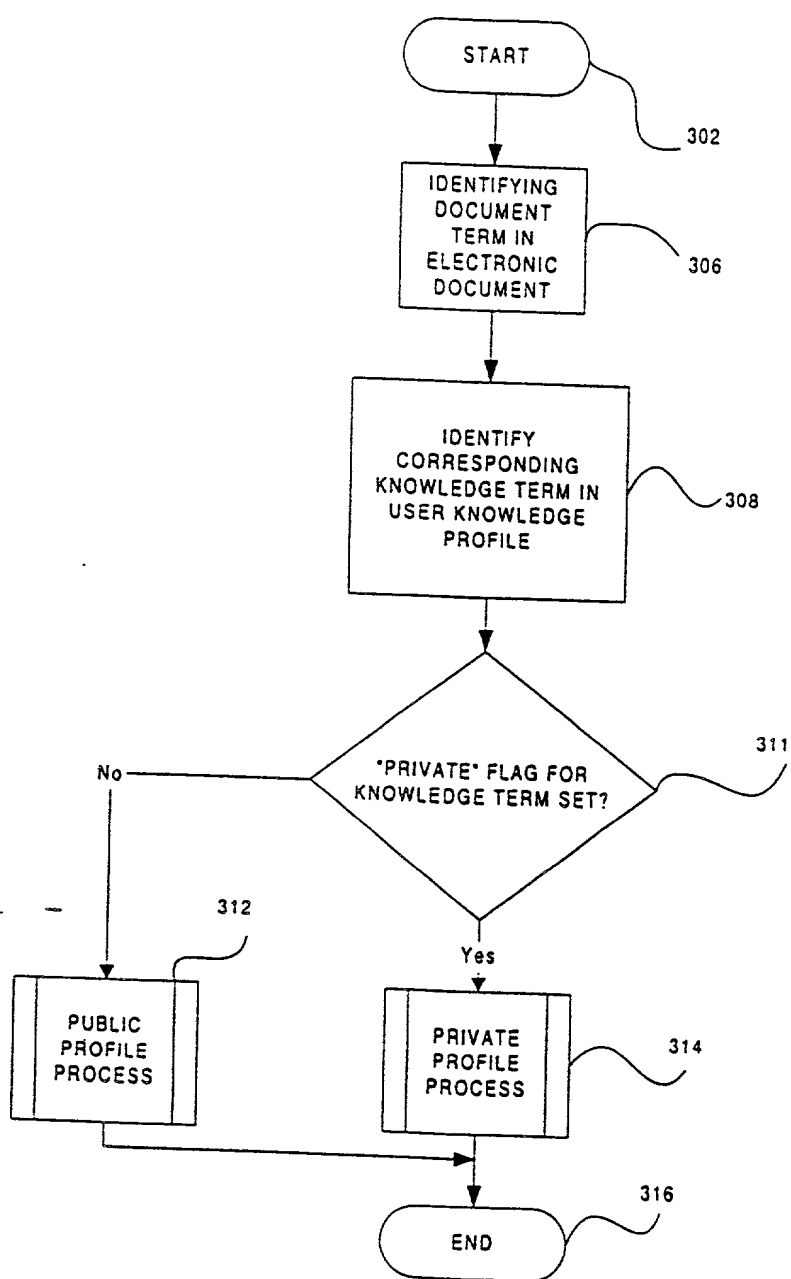


FIGURE 17B

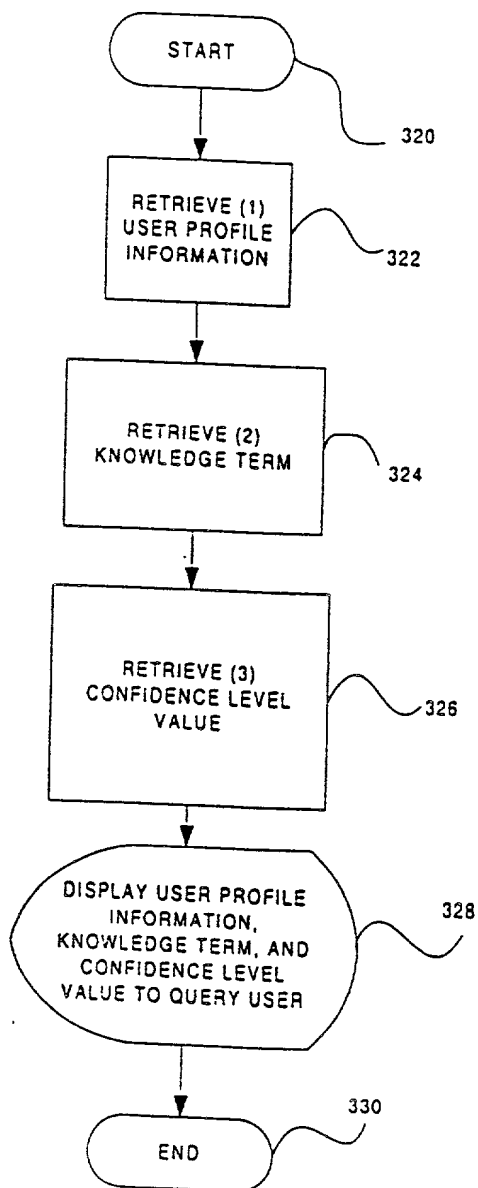


FIGURE 17C

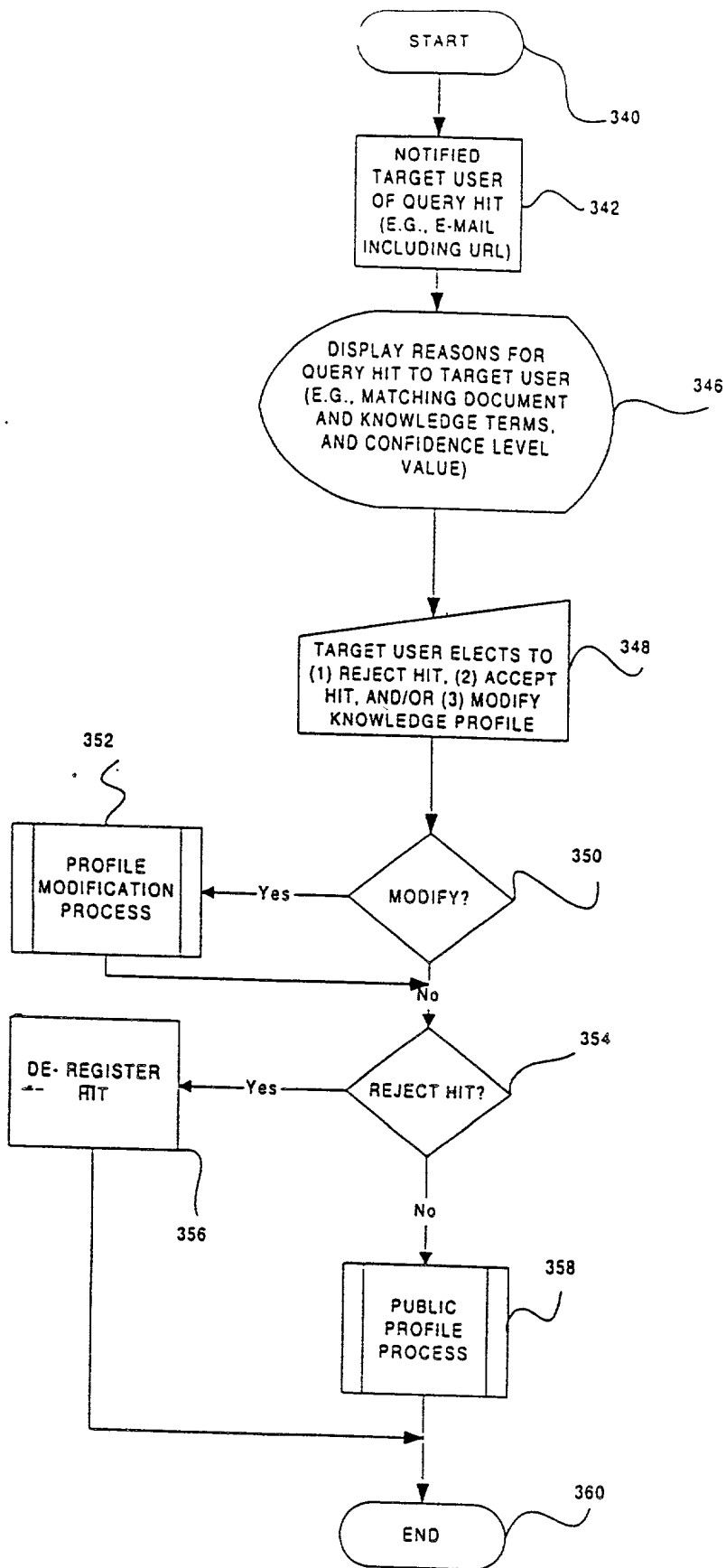


FIGURE 17D

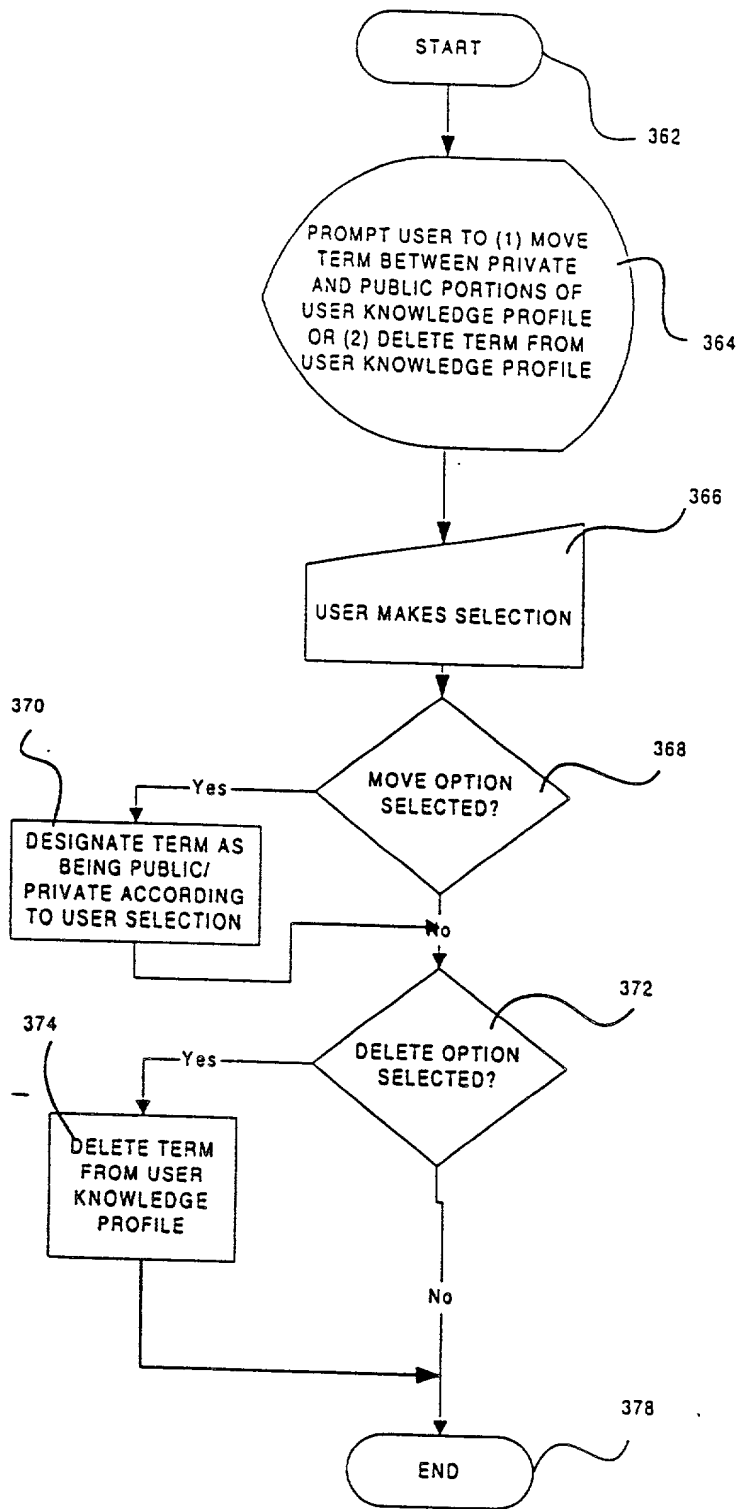


FIGURE 17E

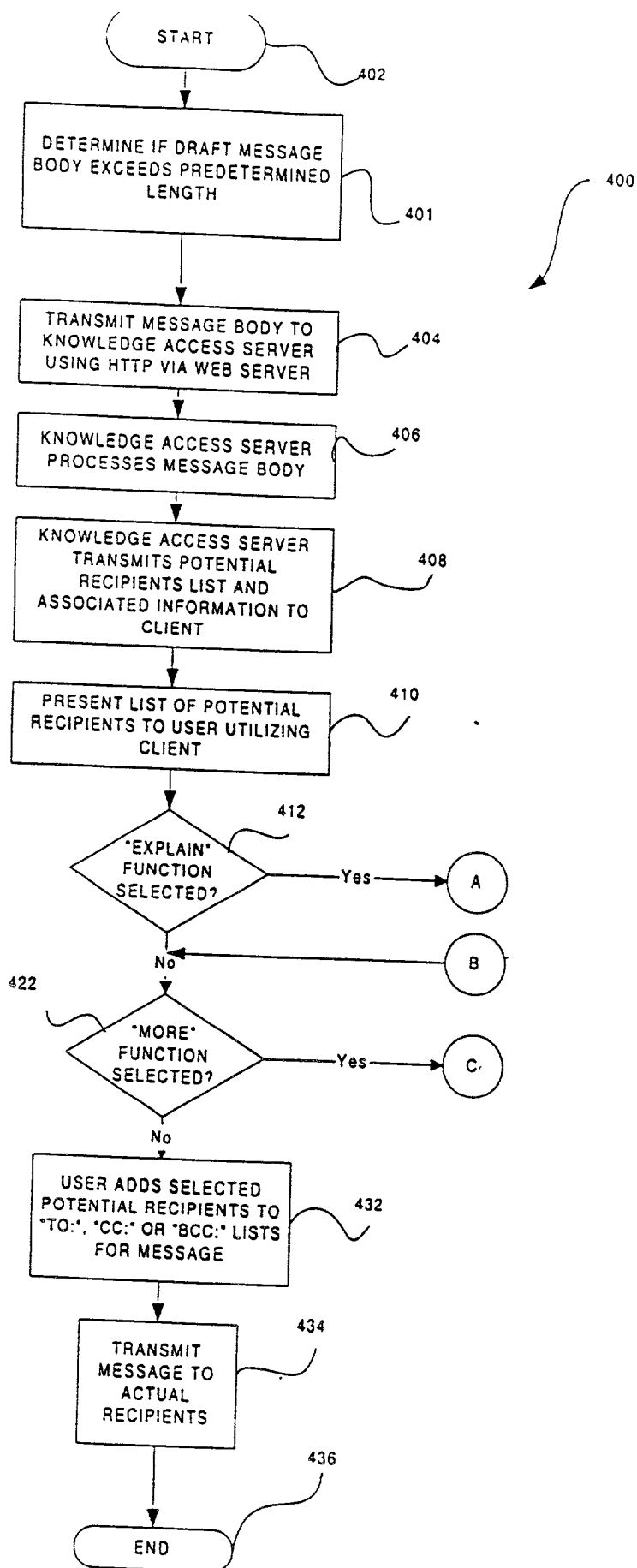


FIGURE 18A



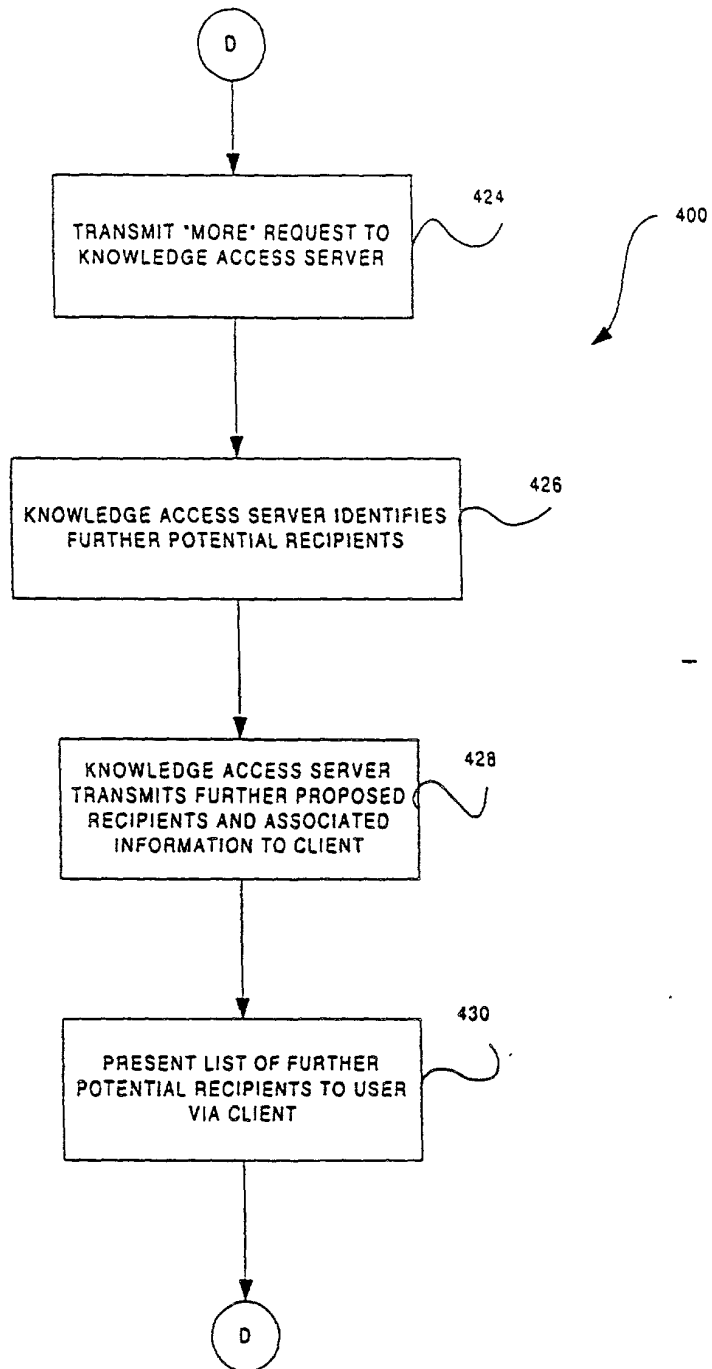


FIGURE 18C

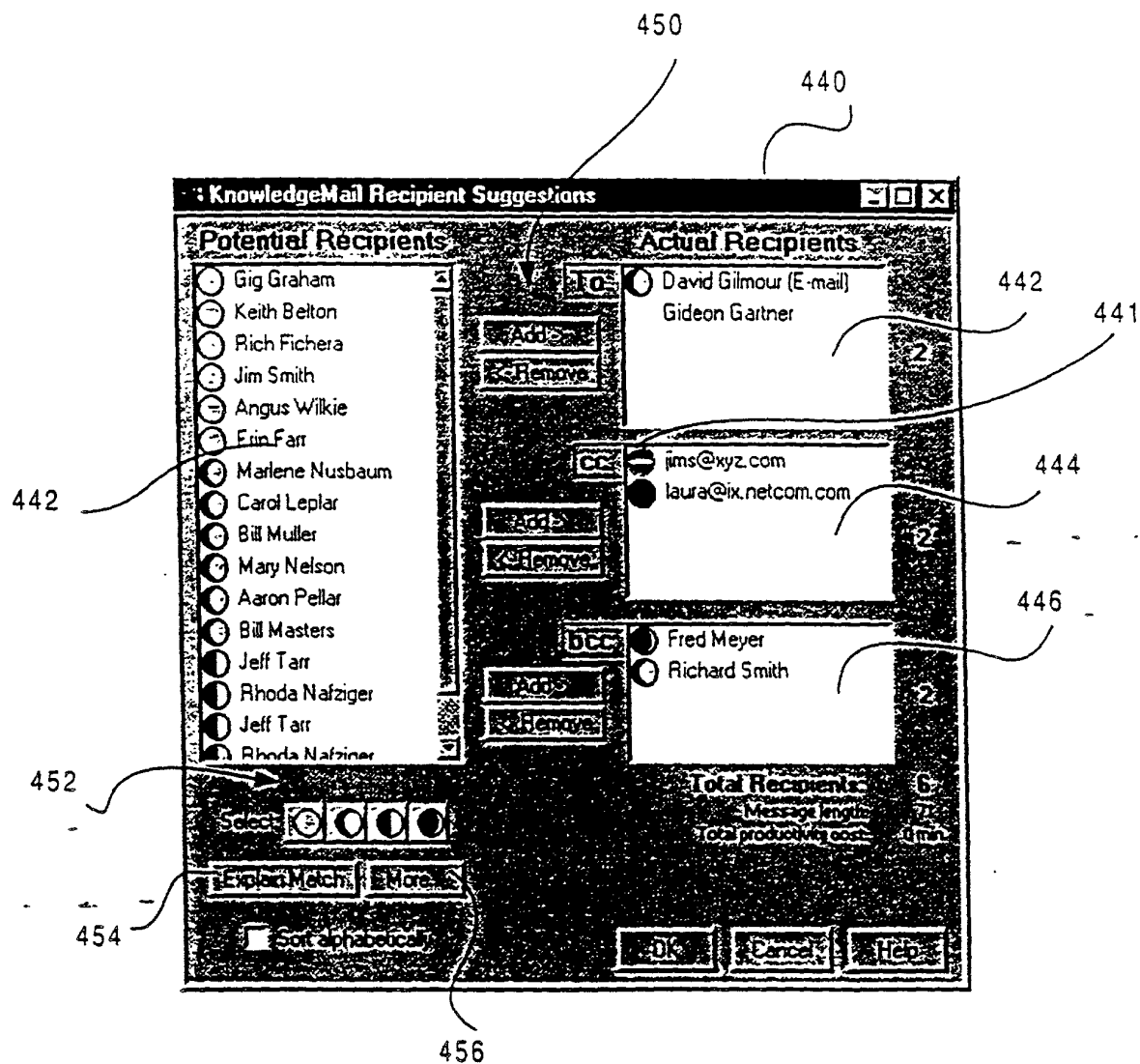


FIGURE 18D



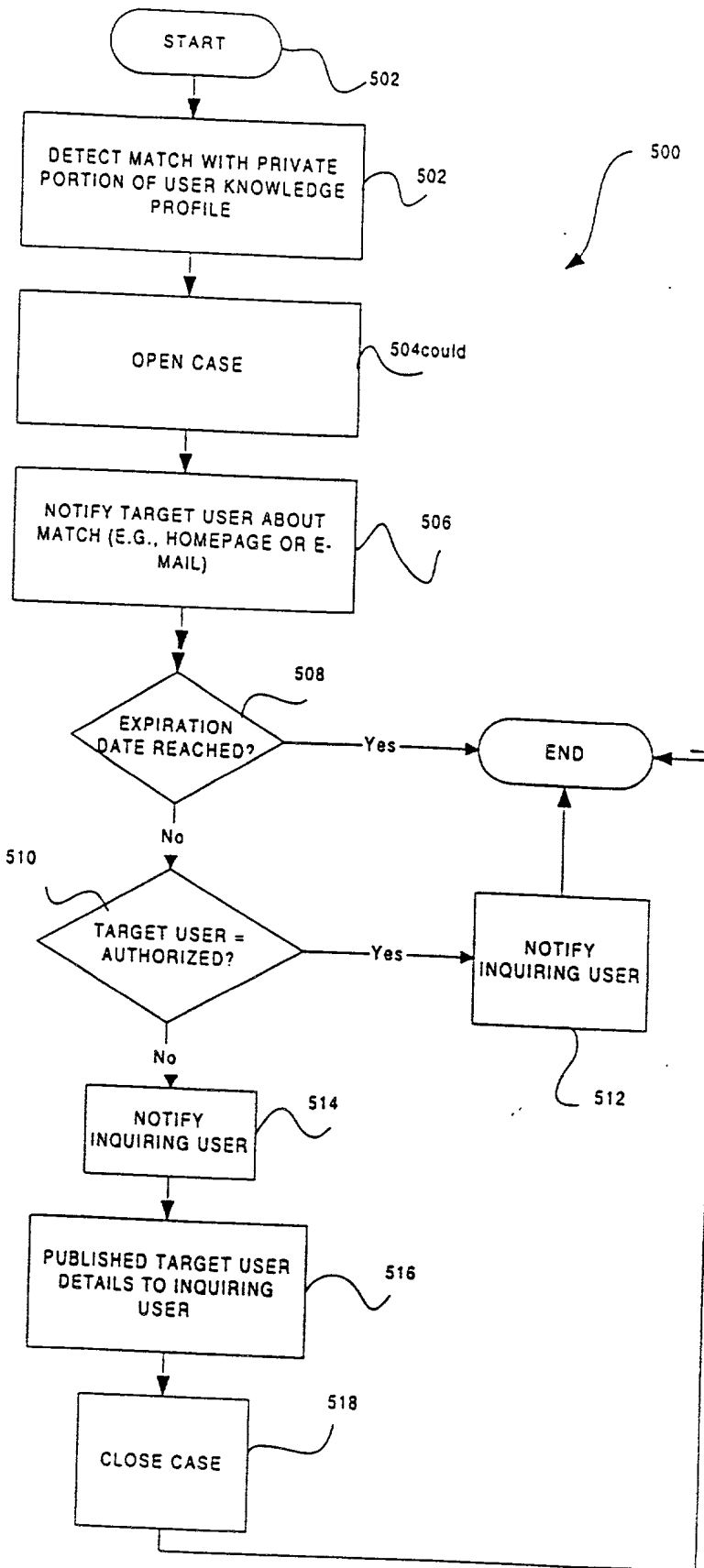


FIGURE 19

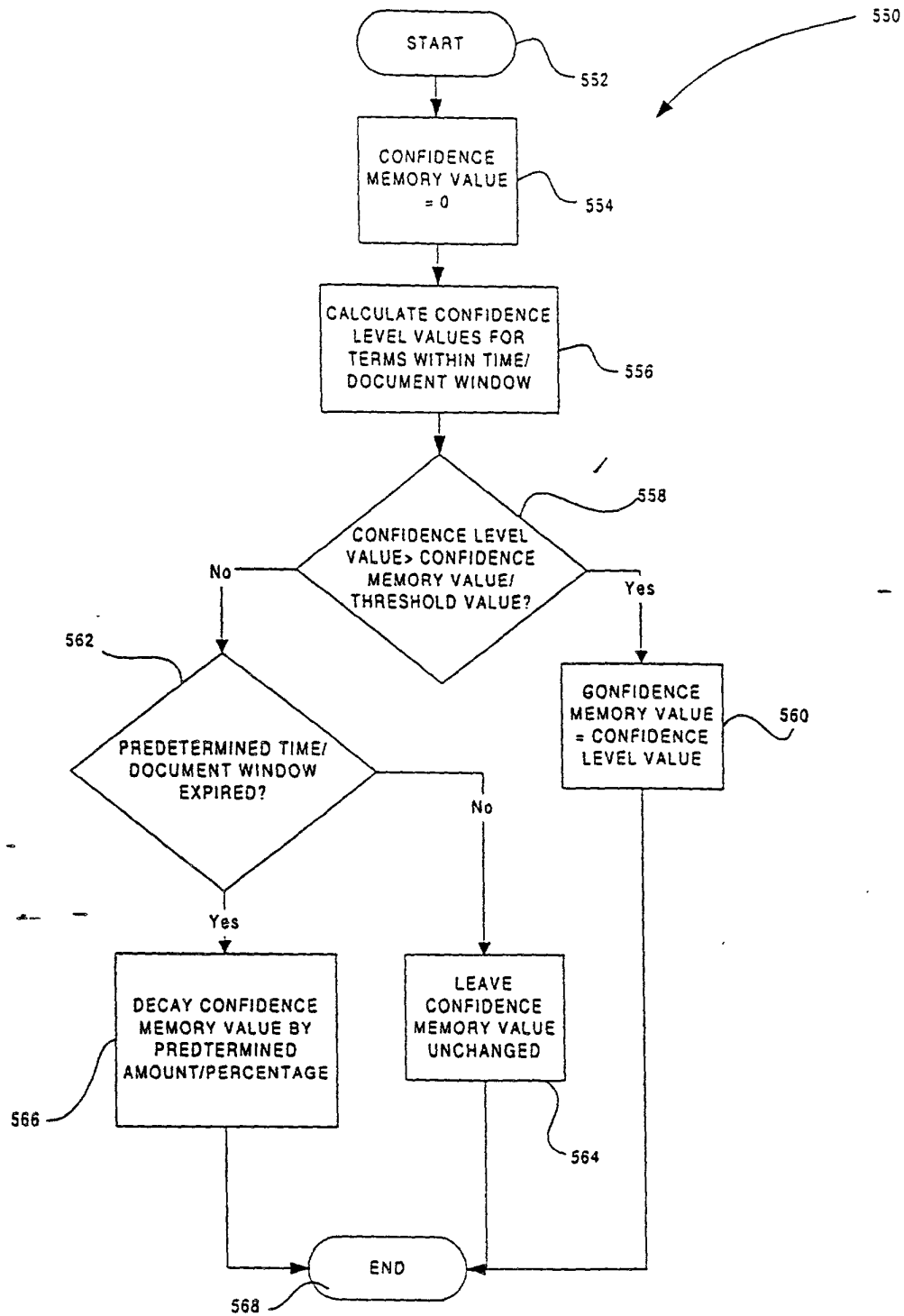


FIGURE 20

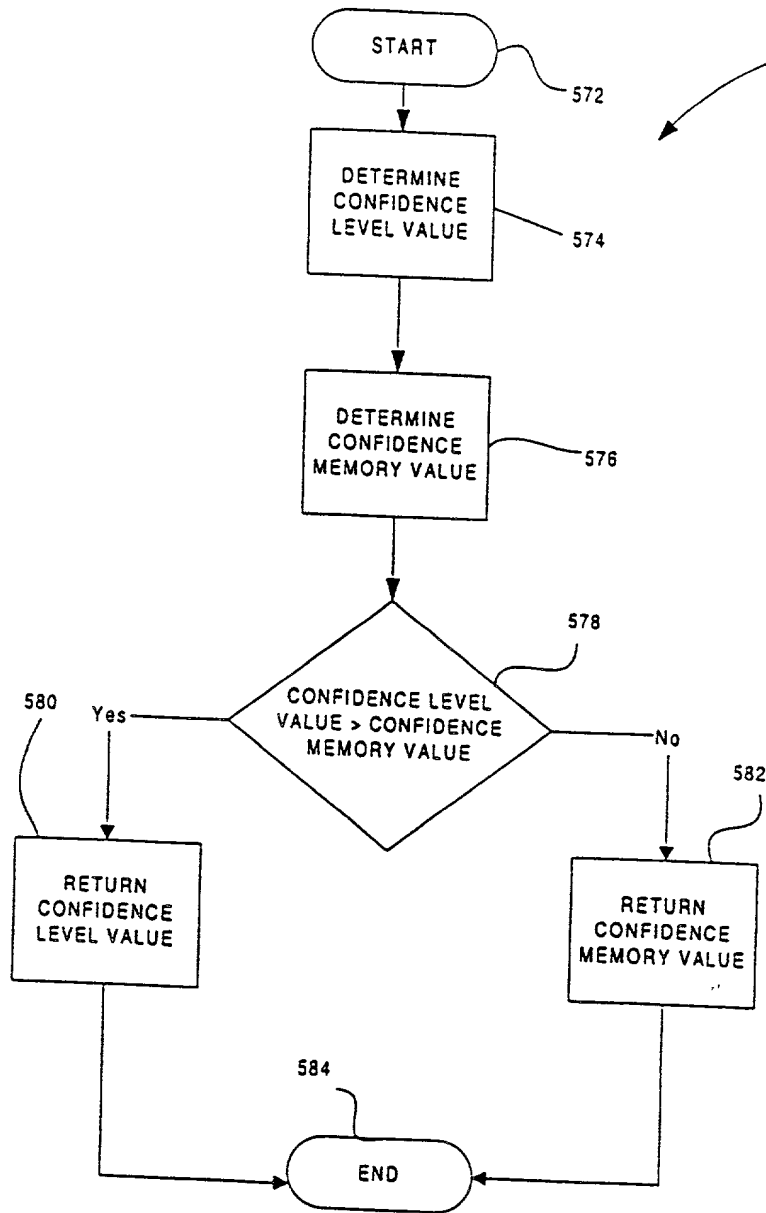


FIGURE 21

112

USER ID	TERM ID	CONFIDENCE LEVEL	CONFIDENCE MEMORY	TIME STAMP
1	101	990	990	9812120800
1	106	976	976	9807241400
1	207	950	950	9805121200
.	.	.	.	.
.	.	.	.	.
.	.	.	.	.
1	67	310	310	9812241900
1	98	300	900	9802110700
1	116	290	290	9804120900
1	190	287	860	9806060900
.	.	.	.	.
.	.	.	.	.
.	.	.	.	.
8	107	995	995	9811191000
8	128	992	992	9811201000
8	154	900	995	9712291300
.	.	.	.	.
.	.	.	.	.
.	.	.	.	.
8	62	370	370	9812181421
8	8	300	300	9812211600
8	52	207	750	9802021647
8	261	200	200	9802221147
.	.	.	.	.
.	.	.	.	.
.	.	.	.	.

92 94 118 121 123

FIGURE 22

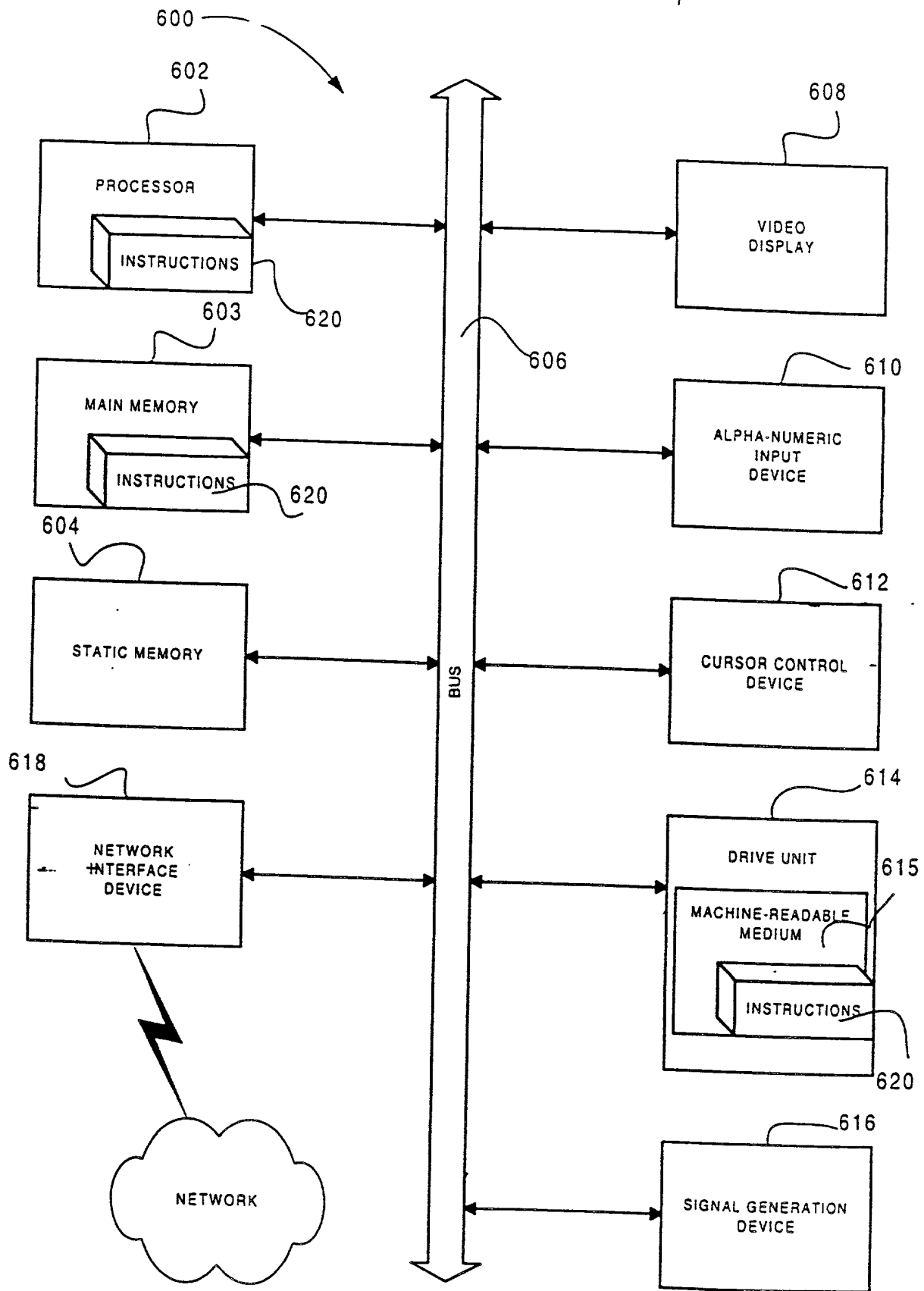


FIGURE 23

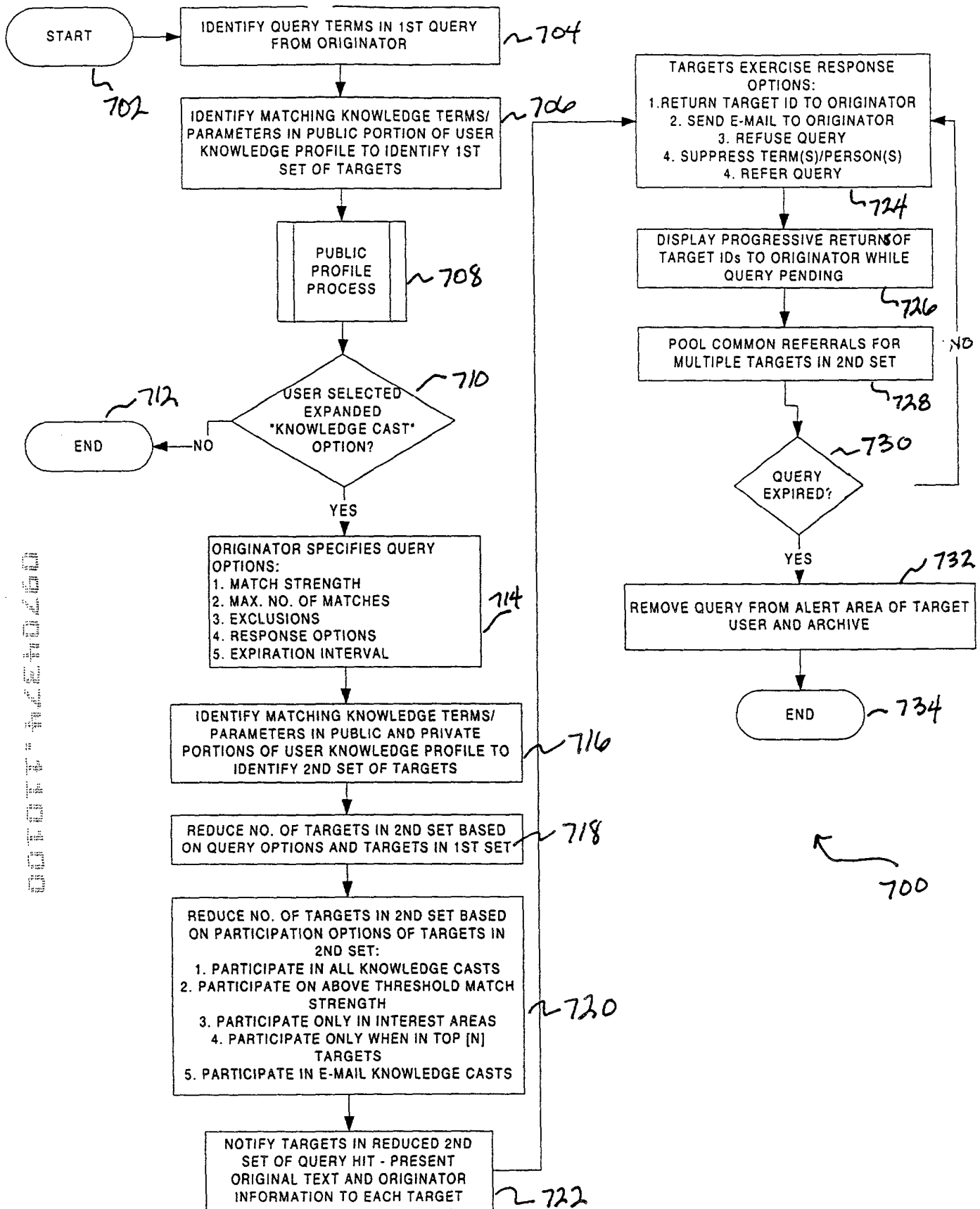
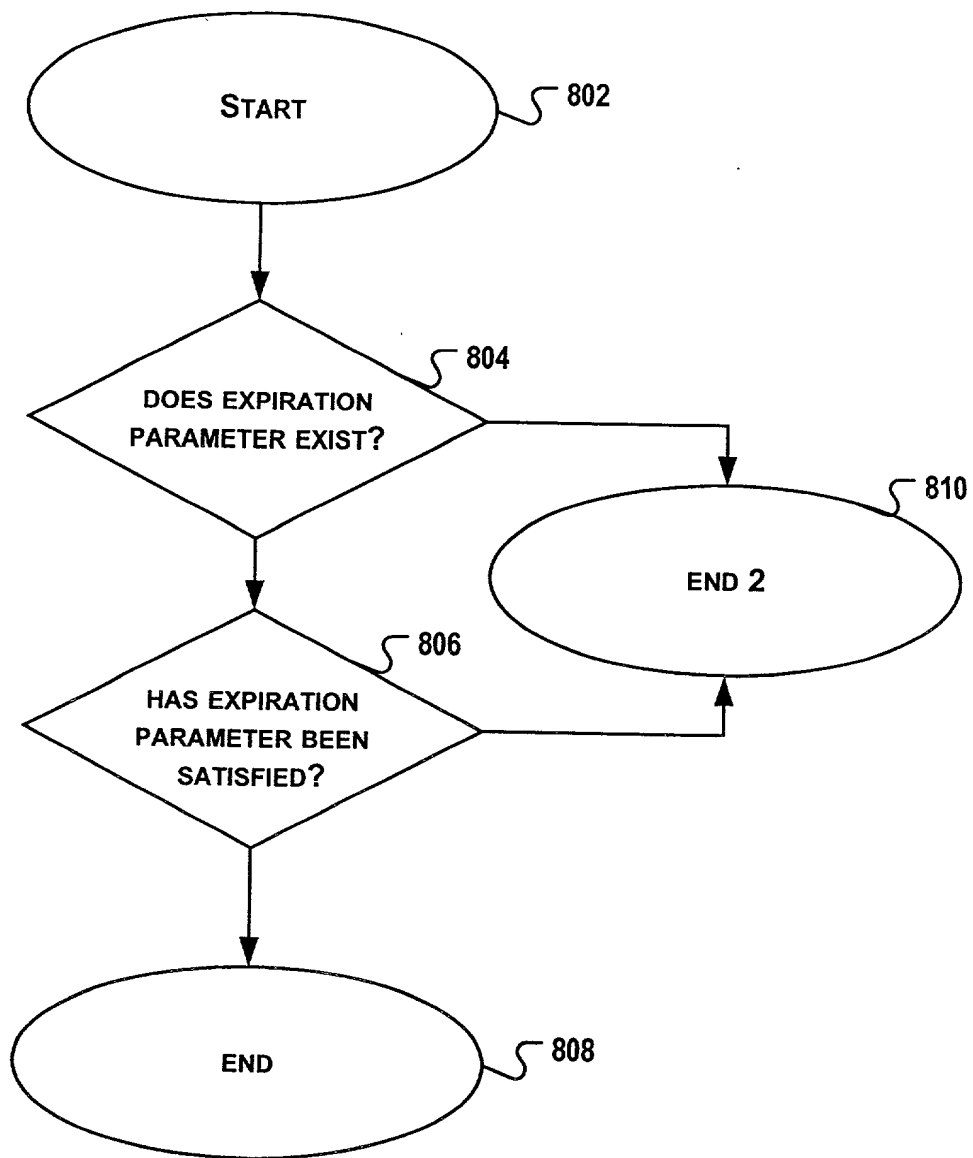


FIGURE 24



**Fig. 25**

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION  
(**CONTINUATION-IN-PART**)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**WITHDRAWAL OF REQUESTS IF TARGET NUMBER OF REQUESTS RESPONSES RECEIVED**

the specification of which

X is attached hereto.  
 was filed on \_\_\_\_\_ as  
 United States Application Number \_\_\_\_\_  
 or PCT International Application Number \_\_\_\_\_  
 and was amended on \_\_\_\_\_  
 (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed</u>	
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<u>Yes</u>	<u>No</u>

I hereby claim the benefit under title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

_____ Application Number	_____ Filing Date
_____ Application Number	_____ Filing Date



**I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below** and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Filing Date	Status -- patented, pending, abandoned
--------------------	-------------	---

Application Number	Filing Date	Status -- patented, pending, abandoned
--------------------	-------------	---

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to Libby N. Ho, BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to Libby N. HO, (303) 740-1980.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor David L. Gilmour

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
(City, State) (Country)

Post Office Address \_\_\_\_\_  
\_\_\_\_\_

Full Name of Second/Joint Inventor \_\_\_\_\_

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
(City, State) (Country)

Post Office Address \_\_\_\_\_  
\_\_\_\_\_

## APPENDIX A

William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. P42,261; Aloysius T. C. AuYeung, Reg. No. 35,432; William Thomas Babbitt, Reg. No. 39,591; Carol F. Barry, Reg. No. 41,600; Jordan Michael Becker, Reg. No. 39,602; Bradley J. Bereznak, Reg. No. 33,474; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; Gregory D. Caldwell, Reg. No. 39,926; Ronald C. Card, Reg. No. P44,587; Thomas M. Coester, Reg. No. 39,637; Stephen M. De Klerk, under 37 C.F.R. § 10.9(b); Michael Anthony DeSanctis, Reg. No. 39,957; Daniel M. De Vos, Reg. No. 37,813; Robert Andrew Diehl, Reg. No. 40,992; Matthew C. Fagan, Reg. No. 37,542; Tarek N. Fahmi, Reg. No. 41,402; James Y. Go, Reg. No. 40,621; James A. Henry, Reg. No. 41,064; Libby N. Ho, Reg. No. 46,774; Willmore F. Holbrow III, Reg. No. P41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W. Hoover II, Reg. No. 32,992; Eric S. Hyman, Reg. No. 30,139; Dag H. Johansen, Reg. No. 36,172; William W. Kidd, Reg. No. 31,772; Erica W. Kuo, Reg. No. 42,775; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, under 37 C.F.R. § 10.9(b); Paul A. Mendonsa, Reg. No. 42,879; Darren J. Milliken, Reg. No. 42,004; Lisa A. Norris, Reg. No. P44,976; Chun M. Ng, Reg. No. 36,878; Thien T. Nguyen, Reg. No. 43,835; Thinh V. Nguyen, Reg. No. 42,034; Dennis A. Nicholls, Reg. No. 42,036; Kimberley G. Nobles, Reg. No. 38,255; Daniel E. Ovanezian, Reg. No. 41,236; Babak Redjaian, Reg. No. 42,096; William F. Ryann, Reg. No. 44,313; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Jeffrey Sam Smith, Reg. No. 39,377; Maria McCormack Sobrino, Reg. No. 31,639; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Vincent P. Tassinari, Reg. No. 42,179; Edwin H. Taylor, Reg. No. 25,129; John F. Travis, Reg. No. 43,203; George G. C. Tseng, Reg. No. 41,355; Joseph A. Twarowski, Reg. No. 42,191; Lester J. Vincent, Reg. No. 31,460; Glenn E. Von Tersch, Reg. No. 41,364; John Patrick Ward, Reg. No. 40,216; Charles T. J. Weigell, Reg. No. 43,398; Kirk D. Williams, Reg. No. 42,229; James M. Wu, Reg. No. P45,241; Steven D. Yates, Reg. No. 42,242; Ben J. Yorks, Reg. No. 33,609; and Norman Zafman, Reg. No. 26,250; my patent attorneys, and Andrew C. Chen, Reg. No. 43,544; Justin M. Dillon, Reg. No. 42,486; Paramita Ghosh, Reg. No. 42,806; and Sang Hui Kim, Reg. No. 40,450; my patent agents, of BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800, and James R. Thein, Reg. No. 31,710, my patent attorney.

## APPENDIX B

### Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclosure information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclosure all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made or record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.